RECORDS MANAGEMENT HANDBOOK

Managing Current Files

FILES OPERATIONS

1964

GENERAL SERVICES ADMINISTRATION

NATIONAL ARCHIVES AND RECORDS SERVICE

OFFICE OF RECORDS MANAGEMENT

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7
Federal Stock Number
7610–985–6973

RECORDS MANAGEMENT HANDBOOKS are developed by the National Archives and Records Service as technical guides to reducing and simplifying paperwork.

RECORDS MANAGEMENT HANDBOOKS:

Managing correspondence: *Plain Letters*	1955	47 p.
Managing correspondence: *Form Letters*	1954	33 p.
Managing correspondence: *Guide Letters*	1955	23 p.
Managing forms: *Forms Analysis*	1959	62 p.
Managing forms: *Forms Design*	1960	89 p.
Managing mail: *Agency Mail Operations*	1957	47 p.
Managing current files: *Files Operations*	1964	76 p.
Managing current files: *Protecting Vital Operating Records*	1958	19 p.
Managing noncurrent files: *Applying Records Schedules*	1956	23 p.
Managing noncurrent files: *Federal Records Centers*	1963	28 p.

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

CONTENTS

I. APPRECIATING THE FILES

"Get me the facts on the Jones case."

In words like these, thousands of Government decisionmakers continually call for needed information. The facts come fast from the files—*if* the records are carefully planned, *if* the files are systematically maintained, and *if* the requester gives the right clues. If not, work falters and tempers flare.

Finding a folder in the files or placing a paper in the right folder seems a simple matter—until something cannot be found or until something is misfiled. Then an office staff comes face to face with the age-old problem of recordkeeping. Members of the staff wish they had mastered the guiding principles when they established the files and had then consistently applied those principles in their daily filing.

This handbook is written primarily to help the thousands of small offices having only four or five filing cabinets of papers, where specified employees keep files as one of their many administrative duties. Nevertheless this should not lessen its value to offices with full-time recordkeepers. Its basic purpose is to help all these persons understand and successfully apply the basic rules governing their filing work. It does not replace any agency's instructions for its own offices, of course; nor does it apply to offices where recordkeeping has been mechanized.

The Office Filing Task

This is a how-to-do-it handbook. It presents both rudimentary standards and specific directions for good recordkeeping. Organized around the chief problems of filing, it shows the steps in establishing and maintaining the files at any recordkeeping location. It tells how to—

- Determine which papers to file and which papers to avoid filing.
- Determine which needed papers to maintain as separate file groups.
- Arrange the folders logically within each group.
- Select and use the best available equipment and supplies for housing records and for making the sequence of folders visible through labels.
- Operate the files on a day-to-day basis after establishing them.

In addition, two chapters give detailed guidance on the two most common types of files, subject files and case files. The handbook concludes with a chapter on evaluating and reporting workload.

The Office Filing Climate

Skilled recordkeepers can help to create, but cannot guarantee, sunny filing weather in an office. Since all in the office benefit when rapid factfinding is accomplished, all should help the recordkeeper maintain a healthy filing climate. Office managers have found the best chances for this occur when—

- The designated recordkeeper is given exclusive responsibility for placing materials into the files. Too many cooks spoil the broth in filing as well as in cooking.
- The recordkeeper is allowed enough time from other duties to maintain the files properly and to dispose of noncurrent records.
- The records users work in partnership with the recordkeeper. This partnership should help the recordkeeper to decide what papers to file. It should lead the users to comply with such mutually beneficial rules as quickly releasing complete records to the files or inserting charge cards after removing papers from the files.

Even the most efficient files are an expensive undertaking. Establishing an effective system for arranging the records that an office must maintain, and placing them at the proper locations, will help secure value from the investment in them. To secure the greatest possible return on the money spent for record-keeping, however, continuing attention and direction must be given to the day-to-day operation of the files.

MUST WE FILE ALL THESE?

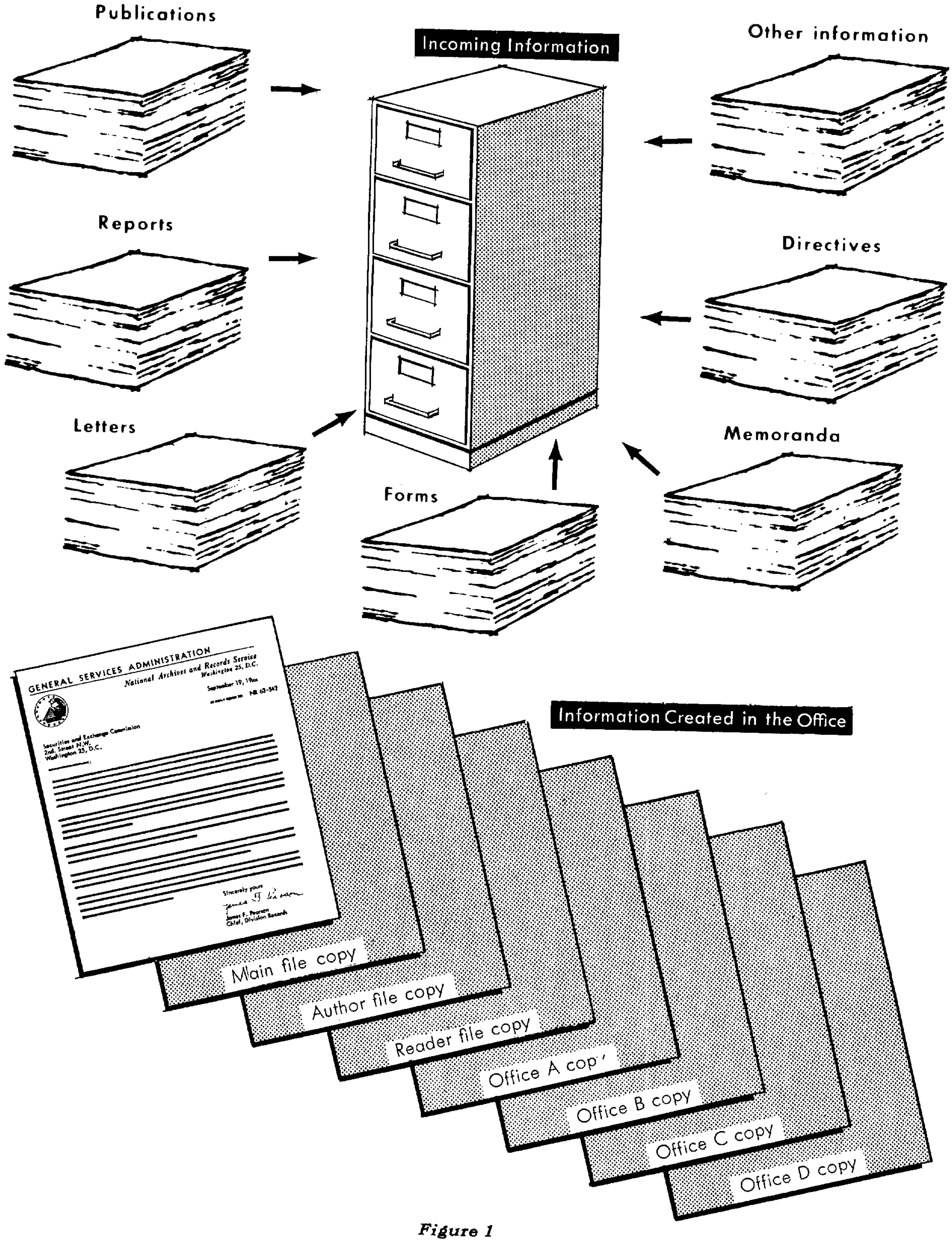


Figure 1

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

II. NEEDLESS FILING

Can we limit the publications we file?
What extra "information" copies should we file?
Should we file copies of all correspondence?
What do we file when we use form letters to answer requests?
How many copies of each document must we file?
Should we file "just in case" extra copies?
Are we doing our part to make the official file complete?
Can we share files with another office?
Can we reduce distribution of extra copies to other offices?

A careful look at the individual papers in the records of any office would make many persons wonder why so many were filed, in the first place. They would additionally wonder why so many executives reduce themselves to automatons by routinely dropping all incoming papers into the "file" box instead of swinging a little farther around in their chairs and dropping some of the papers into the wastebasket.

For the executive lacking foreknowledge of precisely what papers will be needed, but aware of the necessity to produce information when it is called for, too often his offhand decision is to file. The wise decision as opposed to the offhand one recognizes that indiscriminate filing is likely to be the least productive of all office tasks. Filing unneeded papers, in addition to wasting manpower, wastes equipment.

While Federal records disposal laws and regulations require agencies to keep complete records reflecting actions taken, they also permit officials to choose whether or not to file many types of papers for which they will have no further use. This chapter provides guidelines to aid in recognizing those types of papers officials are free to file or not to file when facing the problem depicted by figure 1.

Filing Fewer Publications

A sure way for an office to ferret out needless filing is to begin with the periodicals, circulars, and other reproduced (printed) items received for general information. These materials come in so frequently that they quickly can fill the files. Unless they are retained as separate reference files, they can present an obstacle to finding rapidly any documents needed.

The recordkeeper starts by listing the publications the office receives regularly. Then the listing is reviewed with the people receiving them and disposition commitments are obtained.

During the review, the challenges inherent in questions like the following can eliminate a great deal of needless filing:

- Who first requested this publication?
- Who now uses it?
- How often does he use it?
- Can we conveniently get this information elsewhere when needed?
- Does our past experience justify our remaining on the distribution list?
- Does this publication serve an immediate need? A probable need?
- Has it served its purpose adequately after being reviewed by those who need to see it?
- Is the value of the information long term? Limited? Temporary?
- If we must file it, how soon can we dispose of each issue?

The goal of these questions is to lead to a clearly stated policy, preferably in writing, similar to that in figure 2.

FILING POLICY FOR REGULARLY RECEIVED PUBLICATIONS

Title	*How Often Received*	*Disposition*
Survey of Current Business	Monthly	Keep 24 latest copies. Dispose of oldest copy when filing latest.
Housing Situation	Monthly	Circulate. Then send to Office "A."
Current Population Reports	Biweekly	Circulate and destroy.
Check List of New Publications in State Library	Weekly	Get off mailing list.
Nation's Agriculture	Monthly	Circulate. Keep 12 latest copies. Dispose of oldest copy when filing latest.
Freight Shipment Report, XYZ Railroad	Daily	Enter in record book, then destroy.
Family Income Situation	Monthly	Dispose of after 5 years.

Figure 2

To keep the disposition instructions up to date, a little note such as that shown in figure 3 should be attached to all newly received publications. To keep a particular article longer than the publication in which it appears, the article can be cut out or photocopied and filed separately.

DISPOSITION REMINDER

☐ Dispose after circularizing

☐ Retain in file for ____ years

☒ Other disposition

save page 7 only

Figure 3

When publications must be filed, their stay can be reduced by setting up a revolving file whereby the oldest issue is discarded as the latest is added. To facilitate this, the agreed-upon retention period is put on the label of the folder or guide. Revolving files are identified with an "R" on the label, as in figure 4, or by a special colored label.

If an agency has issued regulations regarding disposal of publications, such as special instructions from the agency library, these regulations should be reviewed before any publications are disposed of.

Filing Fewer "Information Only" Copies

Received copies of letters and forms that are intended only to keep officials posted usually should not be filed. It may safely be assumed that the originating office can produce additional copies when needed. Recipients should file only those items which are sure to be subsequently referred to.

Filing Fewer Directives

Individual directives belong to an overall issuance system. Usually in an office one person is designated to keep the entire "set," with the responsibility of making sure it is complete and up to date. Other persons, then, can discard the copies that come to them for information, depending for reference upon the full "set." Only occasionally will a directive

GUIDE TAB FOR A REVOLVING FILE

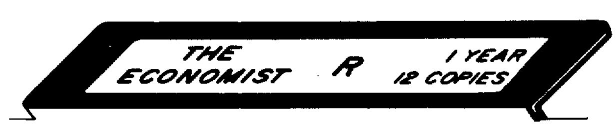


Figure 4

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

be so essential to the story of a transaction that a copy of it should also be placed in the files.

Filing Fewer Copies of Routine Communications

Another way to limit needless filing is to eliminate file copies of routine communications which require no record.

Here are some proven procedures for eliminating copies:

1. When granting routine requests for publications, blank forms, or other printed supplies, attach the requesting letters to the materials sent, as illustrated in figure 5. Since this returns the incoming document to the sender, there is nothing to be filed.
2. When appropriate, answer routine requests from other offices by placing the information at the bottom of the request, as shown in figure 6. There is nothing to be filed since the incoming document is returned to the sender.
3. When transmitting materials not requested by letter avoid routine transmittal letters with their attendant file copies. Instead show on a route slip necessary information, such as the name of the forwarding office and the purpose of the material. See figure 7. If some record seems necessary, note relevant facts on the office file copy of the transmitted materials.
4. When using form letters, if possible return the request for information with the form letter. If the request must be filed, place on it the date of the reply, the number of the form letter, and any fill-in information. Figure 8 illustrates this practice.

Although the procedures shown above represent the practices of many offices, they are not a complete listing. Most offices can find additional ways of eliminating needless filing.

Reducing Extra Copy Files

Too many officials set up extra copy files. These "crutch" records bob up everywhere—the file an employee keeps of copies of all papers he has prepared; a second set of key papers kept against the possibility that the main file will not produce the record; a "reading" or "day" file circulated for information, but *then retained;* or a file containing extra copies arranged as an index to the main file.

Extra copy files kept at various places within an office may seem efficient, and sometimes they are. They are costly, however, and they can be misleading, for they seldom contain all the background data necessary to provide a usable record. Hence, decisions made from these temptingly convenient extra copy files may be unsound decisions based upon incomplete evidence.

Furthermore, extra copy files can undermine the main files. They are open invitations to split what should be kept together in the main file: *all* the facts on a matter. There is always the temptation to keep an extra copy file next to an official's desk and retain among the copies some related materials that actually belong in the main file. In time, the files of extra copies may even rival the main file, until no one is quite sure where to look, because no one can be certain who has the whole story.

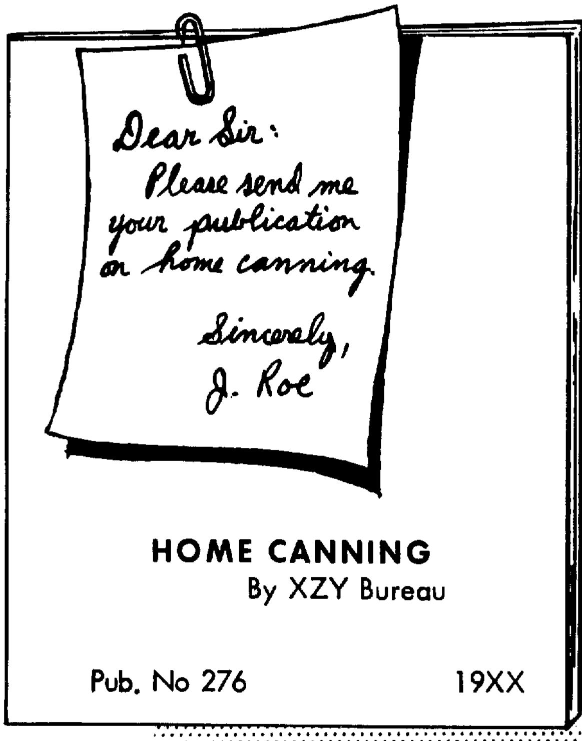
Sometimes the main file will prove too unreliable to justify confidence, but all too frequently doubts are based on an occasional mishap. If the file has real deficiencies, what can be done to make it complete and efficient? Were the papers telling the whole story released for filing in the main file? One good file is worth several kept haphazardly.

Sharing the Files

Many offices limit needless filing by sharing files. This has already been mentioned in a preceding paragraph on directives. Persons keeping records in organizationally related offices informally agree to stop known duplication. One office can keep all the records and agree to furnish them to the other; or each office might find it necessary to keep the records on its unique parts of transactions. Thus, each would supplement the other, yet each could have access to all the records whenever necessary.

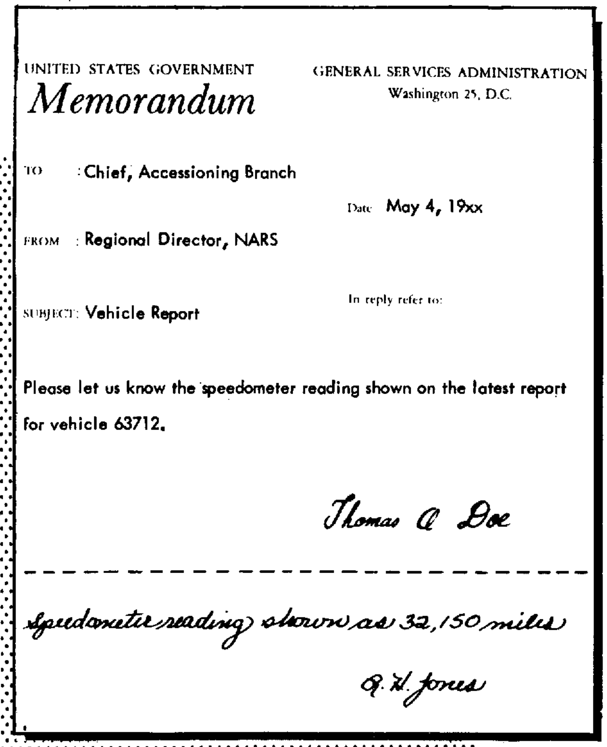
686-584 O—64——2

WAYS TO PREVENT NEEDLESS COPIES


Dear Sir:
Please send me your publication on home canning.
Sincerely,
J. Roe

HOME CANNING
By XZY Bureau
Pub. No 276 19XX

Figure 5


UNITED STATES GOVERNMENT GENERAL SERVICES ADMINISTRATION
Washington 25, D.C.

Memorandum

TO : Chief, Accessioning Branch

Date May 4, 19xx

FROM : Regional Director, NARS

In reply refer to:

SUBJECT: Vehicle Report

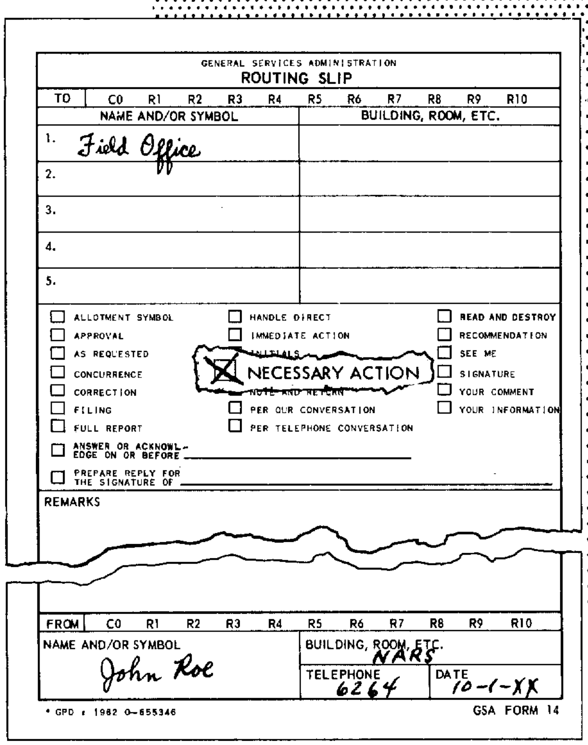
Please let us know the speedometer reading shown on the latest report for vehicle 63712.

Thomas A Doe

Speedometer reading shown as 32,150 miles

G. W. Jones

Figure 6


GENERAL SERVICES ADMINISTRATION
ROUTING SLIP

TO	C0	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10

NAME AND/OR SYMBOL	BUILDING, ROOM, ETC.
1. Field Office	
2.	
3.	
4.	
5.	

- ☐ ALLOTMENT SYMBOL
- ☐ APPROVAL
- ☐ AS REQUESTED
- ☐ CONCURRENCE
- ☐ CORRECTION
- ☐ FILING
- ☐ FULL REPORT
- ☐ ANSWER OR ACKNOWLEDGE ON OR BEFORE
- ☐ PREPARE REPLY FOR THE SIGNATURE OF
- ☐ HANDLE DIRECT
- ☐ IMMEDIATE ACTION
- ☒ NECESSARY ACTION
- ☐ PER OUR CONVERSATION
- ☐ PER TELEPHONE CONVERSATION
- ☐ READ AND DESTROY
- ☐ RECOMMENDATION
- ☐ SEE ME
- ☐ SIGNATURE
- ☐ YOUR COMMENT
- ☐ YOUR INFORMATION

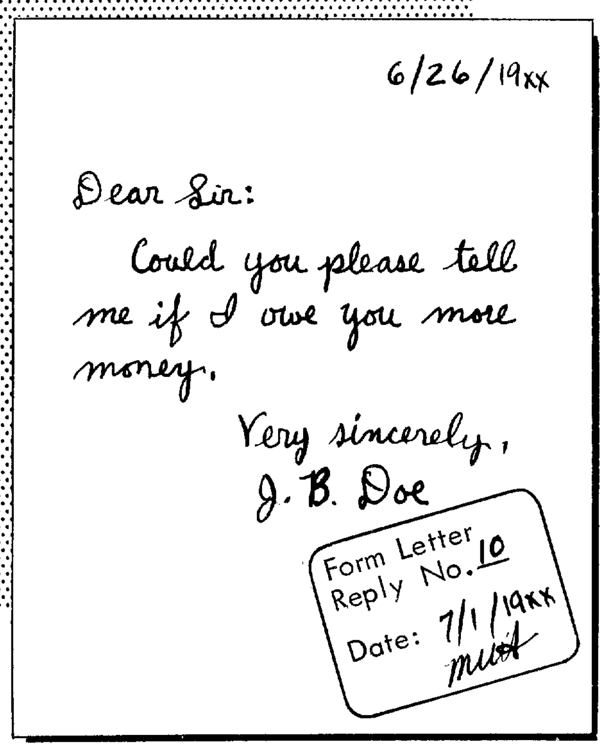
REMARKS

FROM	C0	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10

NAME AND/OR SYMBOL	BUILDING, ROOM, ETC.	
John Roe	NARS	
	TELEPHONE 6264	DATE 10-1-XX

* GPO : 1962 O—655346 GSA FORM 14

Figure 7


6/26/19xx

Dear Sir:
Could you please tell me if I owe you more money.
Very sincerely,
J. B. Doe

Form Letter Reply No. 10
Date: 7/1/19xx
mw

Figure 8

Reducing Copy Distribution

Probably the most effective way used by offices to limit needless filing is by reducing distribution. This works well for directives. Of course, information copies of letters are a vital part of the communications chain; but before routinely sending copies to every person or office, officials owe it to their organizations to do some simple investigating—

Have the copies been requested?

What valid purpose will each copy serve?

Could one copy serve two or more people or offices?

Could a reading file periodically circulated among interested officials keep them as well informed as the present distribution does? (A good reading file is a highly selective collection of the more important papers arranged by date. Since it usually commands more attention than a single routine copy, it should be assembled only by a knowledgeable person.)

While organizations cannot afford communications gaps, neither can officials forget that in thousands of offices yesterday's desired distribution may have become today's filing nuisance.

III. SEPARATING FILES INTO BASIC TYPES

How do we break down records for easy finding?
What are the basic types of files?
When do we file these types separately?
When do we combine some of these types?

Five file cabinets of the five-drawer type hold about 100,000 papers. The recordkeeper can find facts fast, and all the facts in these papers, if they are properly grouped and arranged and if the requester asks for a paper in the right way. If these two conditions exist, the recordkeeper can still find needed information quickly even if he is responsible for many times more than 100,000 papers.

Breaking the Papers Down, Down, Down

Records managers long ago discovered breaking to be the secret of finding the needle of information in an office's haystack of papers. Although the following is an oversimplification, it does indicate the two main steps.

Into File Types (Groups). The first breakdown is dividing the stack into basic types (groups) of records. A file group consists of a collection of papers which have similar characteristics and which should be kept apart from other groups of records in the office. This chapter gives guidance in identifying the file groups best suited to each office; for example, technical reference publications, convenience copies of correspondence, and off-size records.

Within File Groups. In the second step, the recordkeeper must determine how best to break down further the papers within each separate file group or collection. When he has finished, he will have broken down the file group into small stacks of 10 to 75 papers which are closely related by subject matter, person or organization, transaction, place, thing, or event. These small stacks will have been placed in some type of record housing, normally a file folder, and the many file folders containing the papers of the file group will have been arranged in a logical sequence. This second step, leading to a system for arranging the records, is described in detail in chapter IV.

By these two overall steps, the stack of 100,000 papers from 5 file cabinets could be expected to break down into several broad groupings. When further subdivided, assuming an average of about 25 papers in a folder, the papers would be contained in about 4,000 folders. This is why, within a minute, the recordkeeper is often able to select the appropriate filing type or group, and within the group, the folder that holds the documents wanted. A few seconds more are needed for scanning the contents of the folder, and the information is located. If the whole search takes more than 2 to 3 minutes, something probably needs correcting.

The Initial Breakdown

The various possibilities for dividing the records of an office into separate file types must be known before the recordkeeper can determine which separate file groups are best for his office. There are many possibilities, but nine file groups are commonly found in the Federal Government. These nine, and the estimated percentage of the total Federal files they represent, are as follows:

Type	*Percent*
1. General Correspondence	9
2. Transitory Correspondence	9
3. Case Records	55
4. Case Working Papers	8
5. Technical Reference Materials	11
6. Extra "Convenience" Copies	4
7. Film, Tape, or Disk Records	1
8. Cartographic Materials and Drawings	1
9. Cards	2

In addition to the basic nine file groups, many offices possess less common types of papers such as ledger books and suspense files.

When Are Files Separated Into Basic Types?

The existence of the basic types of records in an office is in itself no reason to set them up as separate files. The reasoning for separation, however, goes like this. *Finding needed records is always the prime consideration.* It is the purpose in filing. Separating papers into basic types aids finding because it immediately reduces the area of search. The recordkeeper need not then thumb through a collection of case folders, working papers, extra copies, or publications and clippings to find the documents wanted. Nor will he be confused by a variety of different filing arrangements which so often occurs when the basic types are combined into one file usually arranged by subject topics. Figure 9 visualizes this situation.

Four other considerations will often help an office decide which separate file types to establish.

Disposal Factor. Separation into file types keeps essential documents apart from short-lived papers which may be disposed of earlier than the essential documents. For example, case working papers are kept separate from essential case papers to facilitate disposal of the working papers. Transitory and convenience files also have a shorter life than the general correspondence records. Differing retention periods are, therefore, a good reason for filing these types of records separately.

Identification Factor. The inability to recognize readily the papers of each type may affect the decision. If it is difficult to distinguish technical reference and transitory materials from general correspondence, it may be better to keep them together to avoid filing errors.

Volume Factor. The quantity of papers involved is important. If less than a file drawer of case records or technical reference material is involved, separating them from the general correspondence will be of little value. On the other hand, it does not take many transitory, working, or convenience papers to justify separation. While no one volume figure can apply to separating file types in every office, where possible in the next few pages, guidance has been given on the volume factor for some of the common file types.

Completeness Factor. The needs of records users for complete information telling the whole story of transactions should not be overlooked. If photographs and correspondence are separated, either both files may have to be searched when records are requested, or the office runs the risk of the user taking actions without the complete facts. Most often it is the physical characteristics of papers, such as the size of engineering drawings, that force recordkeepers to file materials separately that they would prefer to have together.

The Basic File Groups

The following describes the characteristics of the papers or materials included in the nine basic or most common file groups:

1. General Correspondence (Subject Files)

Often known as the "central file," the "general file," or the "subject correspondence file," the general correspondence file consists of letters, memorandums, telegrams, enclosures, reports, and miscellaneous materials, *arranged by subject.*

Almost every office requires a file of this type for those papers which will most often be requested by subject.

The general correspondence file often includes papers belonging to the other basic types if finding is easier or if the volume of such papers is small—factors already cited. It is frequently argued that "case-type records" are not "case files" unless they are filed separately from the general correspondence. The basis for this argument is that a subject-coded heading precedes a case heading, as,

MIL 2—Jones, Richard, *or*
201/Doe, John.

Therefore, the subject-coded heading controls the place of the folder in the general correspondence file. It could thus be technically correct to say that all papers are part of the general correspondence subject file since they can be described by subject topics and that any other "basic type" established is simply a part of the general correspondence pulled out for separate handling. For ease of explanation, however, each basic type (file group) will be discussed as a separate entity in this chapter

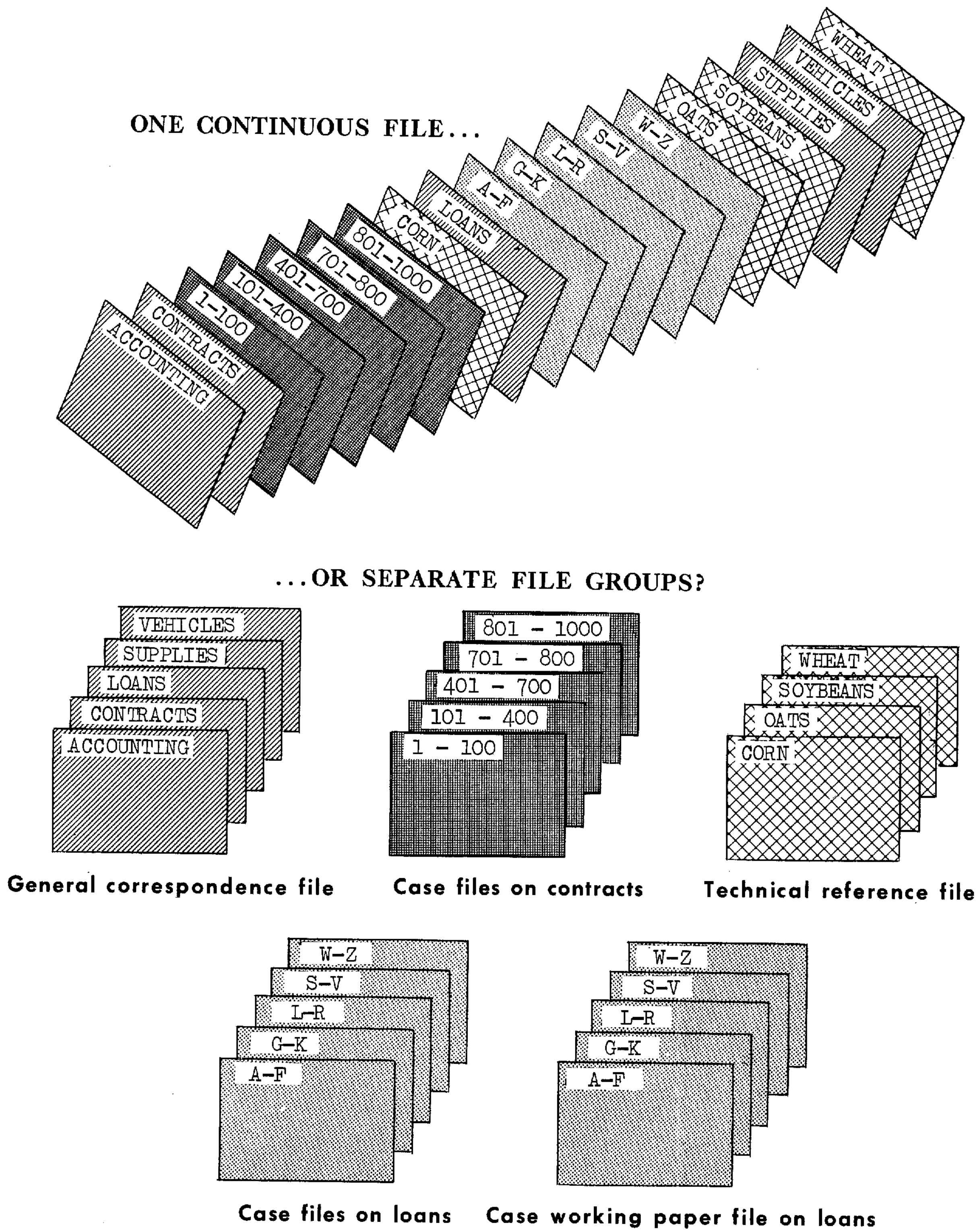


Figure 8

2. Transitory Correspondence

One of the great failures in filing is the failure to recognize adequately the existence of transitory correspondence and to provide for its handling. This failure means that many papers are kept longer than they need to be, and are kept more expensively than they need to be. Transitory correspondence consists of easily recognizable routine materials. Examples are short-lived papers involved in answering routine requests for information or publications, in requesting or transmitting routine data to other offices, and in making hotel reservations or arranging for conferences. Such papers often may be authorized for disposal within 6 months or less. Every office has such papers, and almost every office needs to segregate them. They should be kept in folders separate from folders for other general correspondence if they amount to 5 percent or more of the papers.

Usually an office will establish a separate file for these transitory materials. Sometimes, however, it is preferable to file transitory folders within the general correspondence file, but earmarked by distinctive topics or labels, so that disposal is easy. Whether or not an office has a separate transitory file or segregated folders within the general correspondence file depends largely on ability to recognize materials as transitory when they are requested. When the recordkeeper can easily recognize transitory materials, he will probably establish a separate file.

If less than 100 papers a month are involved, a separate transitory file will normally be set up in date order. If the volume is much larger, subject filing may be required to facilitate reference.

3. Case Records

"Case files," "project files," and "document files" are essentially synonymous terms for the largest single type of records in offices. Records commonly case filed relate to—

- Purchase orders
- Contracts
- Investigations
- Requisitions
- Loans
- Research projects
- Construction projects
- Personnel transactions

This file type contains material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project, but will always be ***filed by a name or a number.*** This aids in distinguishing them from the general correspondence, which as has been noted, is filed by subject. Another distinguishing feature of case records is the similarity in the nature of the papers within each case folder constituting the total file.

Case records may be said to be specialized subject records, the specialization being the "name or number" filing feature. For example, a contract may be filed by number "L–19843," or by vendor "L. L. Jones Co." Typically a case file handles a transaction or relationship from its inception to its close.

4. Case Working Papers

One of the notable ways filing systems can be improved lies in the recognition of this type. These papers should be viewed as a segment of a case history file segregated to aid disposition of short-lived specific classes of materials.

The most readily recognized case working papers are the voluminous background and working materials accumulated in connection with project-type cases. Typical are the reference materials and other data collected for the project, materials involved in summarizing or analyzing the data, and drafts or other preliminary papers leading to final findings.

Not as readily recognized, but far more common, are the short-lived correspondence and working papers which offices accumulate with almost any type of case or project file. Typical are routine requests by an office for reports or data on a case, routine correspondence between headquarters and field offices on administration of cases, occasionally received extra copies of case documents or reference materials, and the like.

If the recordkeeper can distinguish the working papers from important case papers, he should always take some action to segregate them. This does not necessarily mean that he will keep them in a separate file. He may find it desirable to keep short-lived correspondence and more important papers together in the same folder, but segregated within the folder. Or he may put such papers in separate folders but file the folders side by side.

It is important to distinguish between case working papers and transitory correspondence. Working papers are allied to case records, while transitory papers are related to general correspondence. Finding needed information can be difficult when these two basic types are intermixed. In addition, mixing these papers complicates disposal. Transitory papers are normally disposable within 6 months after date of preparation, while case working papers are normally disposed of after a period dating from the close of the case.

5. Technical Reference Materials

Printed reports, periodicals, and special studies, usually called "reference materials," are received constantly from government agencies, colleges and universities, private research organizations, trade associations, and the like. These materials also include internal agency instructional and information manuals. Frequently they include publications supplementing available library facilities. They are most evident in offices involved in research, product development, statistical reporting, and information gathering and dissemination.

The correspondence files in many offices are crippled by including more technical reference materials than correspondence. Much of chapter II was concerned with how offices can prevent the overloading of their files with needless reference materials. As a broad rule of thumb, if more than one drawer of the bulk of a correspondence file consists of reference materials, separate filing of the latter is warranted.

6. Extra "Convenience" Copies

Extra copies of documents created or received that are retained solely for ease of use constitute the "convenience" file group. Some offices have ample justification for keeping them, but most do not, as was explained in chapter II. The "day file" of letters written by an office, arranged in date order, is a typical example of a convenience file. Not so evident may be the copies of letters and forms which are filed with the general correspondence or case files, not because of any action that must be documented, but for convenience of reference.

Unless such copies are only occasionally received, recordkeepers usually set up an extra copy file as an aid to finding and disposal. Even one folder a month will usually justify a separate file. Typically, such files are retained in folders identifying the originating offices.

7. Film, Tape, or Disk Records

These records have the form of graphic images, or of electronic or other mechanical reproduction of sounds or coded information. They are usually kept separately because of their physical characteristics.

Still pictures are used in many instances to record activities or progress, and as such must be treated as records. If prints are received only occasionally, the custom is to house them in the regular subject or case files. Still picture negatives, as well as motion pictures, demand separate housing and special care for preservation.

Sound recordings from some office dictating machines are disks compatible in size with letter paper and can be filed with paper records, but tape types cannot. Many sound recordings are transcribed to paper records so that the recording media can be discarded or reused. Others are not transcribed and must be preserved, as in the case of some grievance hearings. Even a small volume of tapes or off-size recordings requires a separate file.

Other items in this basic type are magnetic and paper tapes, X-ray films, and microphotographs.

8. Cartographic Materials and Drawings

Maps, charts, aerial photographs, physiographic diagrams, and engineering drawings have a variety of formats and sizes. Hence they frequently are kept separate from other records.

Maps are usually more usable as a printed, reduced copy than in the original. If they are standard size, they can be filed with related papers. Field survey notes, geodetic surveys, astronomic readings, and similar computations are usually considered as cartographic in nature.

The term "charts" (hydrographic, nautical, weather, aeronautical, and the like) also includes graphic presentations (bar, pie, tabular, and the like). Most of the time printed copies of charts are used, as the original artwork is often not readily available.

Aerial photographs include the negative and positive (print) film, and such other items as flight line indexes, mosaics, and graphic indexes, although these may not be used exclusively for mapping purposes.

Engineering drawings may be blueprints, diazo prints, pencil sketches, or tracings on vellum. They require special reproduction equipment. Some oversize maps and drawings can be folded and interfiled among related subject or case files. However, if more than 10 percent of the maps, charts, or drawings are oversize, separate filing is called for. Too many bulky folded papers will seriously handicap filing and searching in standard-size records.

9. Cards

The variety of card files is almost as great as the variety of case files. However, their physical size and format make them a logical separate file group. Common sizes used as indexes, catalogs, or summaries are 3 by 5 or 5 by 8 inches. Oversize cards are used in some offices to record pay. Punched cards are basic to electrical accounting machines and can serve as computer input. Microprinted cards may contain supply specifications or inventories. Microfilm aperture cards provide one way of keeping engineering drawings.

686-584 O—64——3

IV. SYSTEMS FOR ARRANGING RECORDS

What are the filing features of a document?
Why do we file papers by the feature the user will most often know?
How does that feature become a file designation?
When do we need subarrangements or indexes?
What filing arrangement results from selecting a particular filing feature?
What filing operations result from choosing a particular filing arrangement?

Recordkeepers who have broken their mass of papers into separate file types will probably have, in addition to general correspondence, one or more stacks of case-filed papers, of recognizable case working papers, of technical reference materials, or of some of the other file types covered by chapter III. But this separation is only the first step. Recordkeepers must, in addition, subdivide the stack for each separate file type or collection into smaller stacks of 10 to 75 similar papers to be housed normally in a folder, and must determine the best way to arrange the many folders comprising the particular records collection.

While this second step must be done for each of the separate file types in an office, from this point on this handbook will discuss primarily the two major file types in most offices: general correspondence subject files and case records.

To carry forward the second step, which in effect will lead to selecting a system for arranging the records of each separate file type, the recordkeeper must find out the way records users will most often describe the papers of a collection when they are needed. These descriptive identifications of papers are known as the "filing features" of papers.

Filing Features

Correspondence. Users will request letters, memorandums, and telegrams by one or more of these six filing features:

1. *Surnames* (names or titles) of individuals or organizations
2. *Names* (titles) of projects, products, transactions, or things
3. *Locations* (geographic or political divisions)
4. *Numbers* (symbols) assigned to transactions, commodities, locations, projects, individuals, or organizational units
5. *Dates* prepared or used
6. *Subject topics* describing the informational content

Figure 10 demonstrates how these various filing features may be found within a letter. Not every piece of correspondence has all six filing features, but each could be requested by more than one. A long, involved letter might well have six subjects.

Forms. As shown in figure 11 the most common filing features of a form are:

1. *Title* of form (presumably the form *subject*)
2. *Surnames* (names or titles) of individuals or organizations
3. *Numbers* (symbols) assigned for transaction control or other identification
4. *Dates*

Since forms are used often in case files, they will usually be filed by name or number.

Reports. Figure 12 depicts some principal filing features of reports, namely:

1. *Title* of report (presumably the main subject)
2. *Subjects* in addition to the main subject
3. *Surname* of author
4. *Name* of originating organization
5. *Number* of project or contract with which identified
6. *Number* assigned for control
7. *Date* of issuance

Some file systems place recurring or periodic reports under a category "Reports," subarranged by report title or by form title if the report is a form.

Directives. Directives have a system of their own, usually independent of the filing system. As a rule, they are filed in accordance with the directives system, in looseleaf binders, and put in bookcases. When directives are to be placed in the files, they may be arranged according to such filing features as shown in figure 13, and listed below:

1. *Subject* line of directive
2. *Number* for directives system control
3. *Date* of issuance
4. *Name* of originating agency

The fourth filing feature above would be meaningful only to persons outside the originating agency.

Other items. Space limitations prevent a general-purpose handbook from discussing the filing features of cards, X-rays, engineering drawings, technical reference publications

POSSIBLE FILING FEATURES OF CORRESPONDENCE

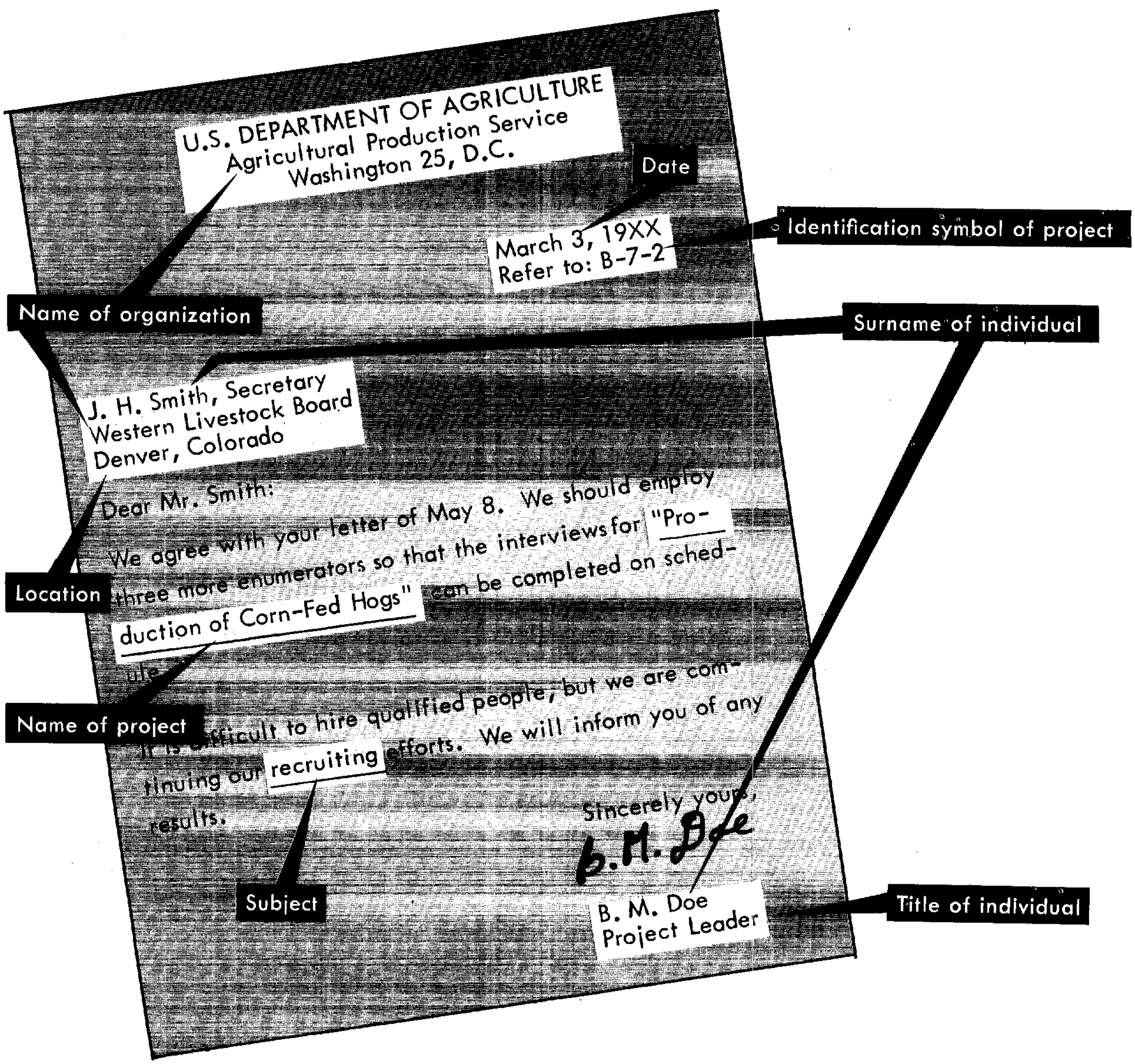


Figure 10

POSSIBLE FILING FEATURES OF FORMS

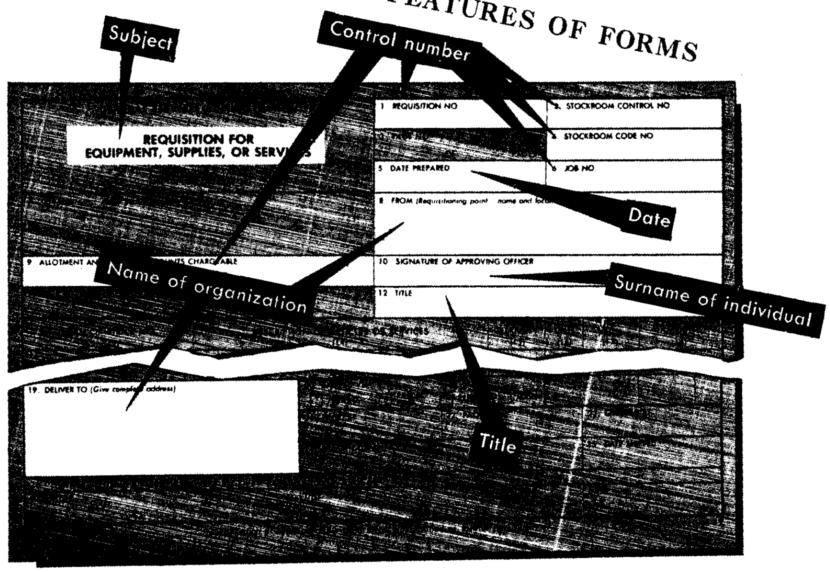


Figure 11

POSSIBLE FILING FEATURES OF REPORTS

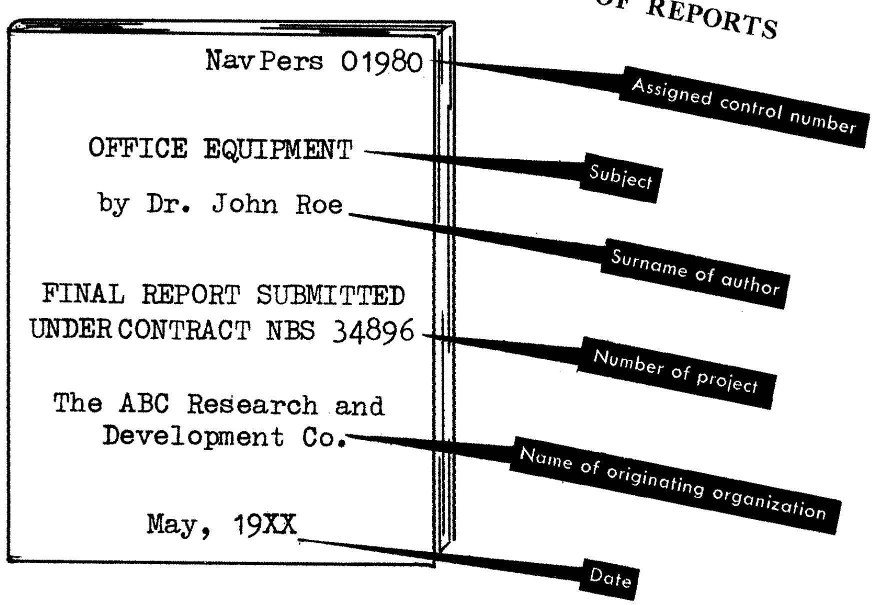


Figure 12

which resemble reports), maps, sound recordings, and other types of filable material. These materials, too, have names, titles, numbers, dates, geographic locations, or subjects which can be identified and used as filing features.

Identifying the Filing Feature Most Often Known by Users

One of the hardest chores of the recordkeeper is to decide by which filing feature documents will be requested *most often*. He must ask such questions as, "Are the users likely to know the names of persons more often than their social security numbers?" If so, he will file the papers by surname, as shown in figure 14. To take care of those instances, if numerous, in which the social security number is known, but not the exact name, he may need an "index" in number sequence. Sometimes, he may not be able to establish which feature will be most often known by users. Then he has to resort to otherwise indefensible indexes to offer possibilities of reference by more than one filing feature. Indexes are discussed in chapter VIII.

Sometimes the recordkeeper may find, when he needs to identify the records by more than one feature, that he can use a second feature as the basis for a subarrangement within the overall arrangement. As an example, shown in figure 14, the volume of papers within a geographical file by cities may require a further breakdown by names of individuals. This arrangement is best if (1) "cities" are the most often known feature of the entire file group, and (2) users will call for papers more frequently by "names of persons" within any one city than by any other feature. Other familiar bases for subarrangements are organizations within geographical locations or names within subjects.

Choosing How the Feature Will Be Captioned

After the feature that will most frequently be identified by the users has been chosen, the recordkeeper is still not ready to slip papers into folders. He has yet to decide how that feature should be worded on the folder labels. This solution, in turn, will control the arrangement of folders in the file.

POSSIBLE FILING FEATURES OF DIRECTIVES

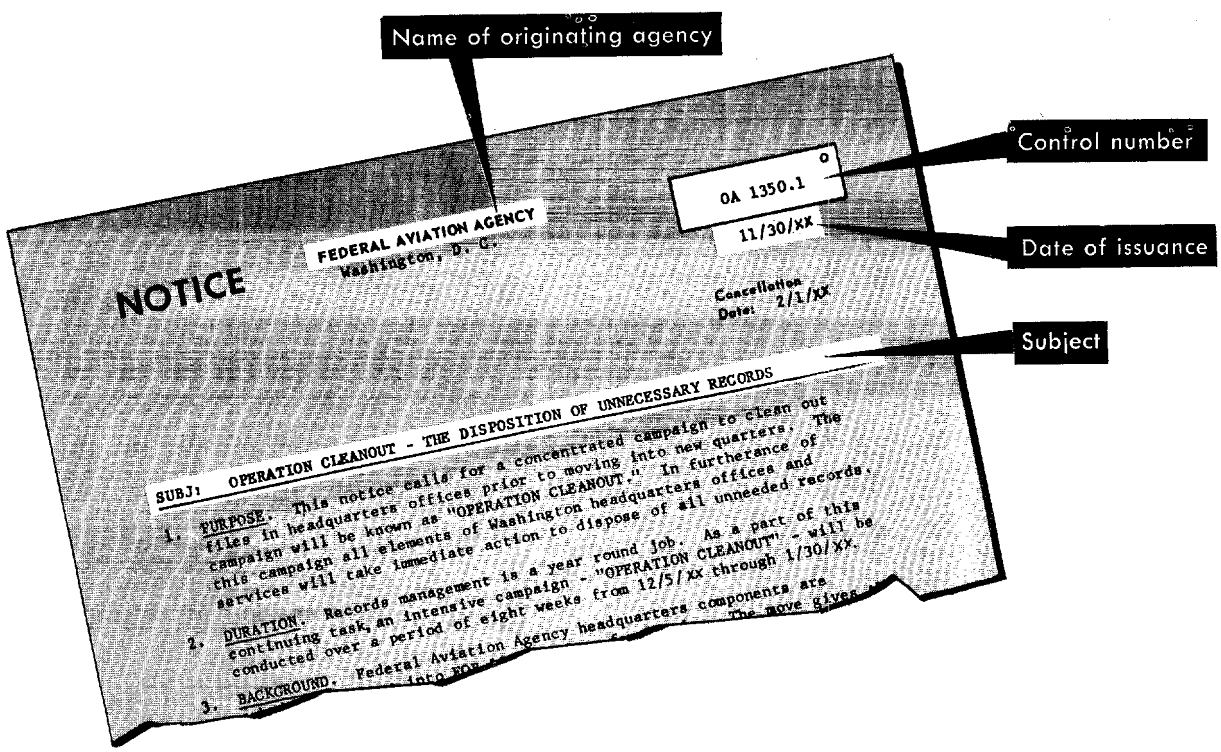


Figure 13

Some recordkeepers may elect to express the feature as a file designation differently from the way it appears on the papers. Figure 15 illustrates how some might choose to convert "Western Livestock Board" to the file designation "Boards—Western Livestock," because they want all "Boards" with which they are dealing to be filed together in an alphabetical file. Recordkeepers can face other problems of files arrangement, such as:

- Would it pay to persuade the users to substitute project symbols for word descriptions in requesting case folders? This substitution would change the "most often known feature" and the sequence of the folders.

- For a subject file, would it pay to substitute file codes to shorten word descriptions of subject topics?

FILING BY THE FEATURE MOST OFTEN KNOWN

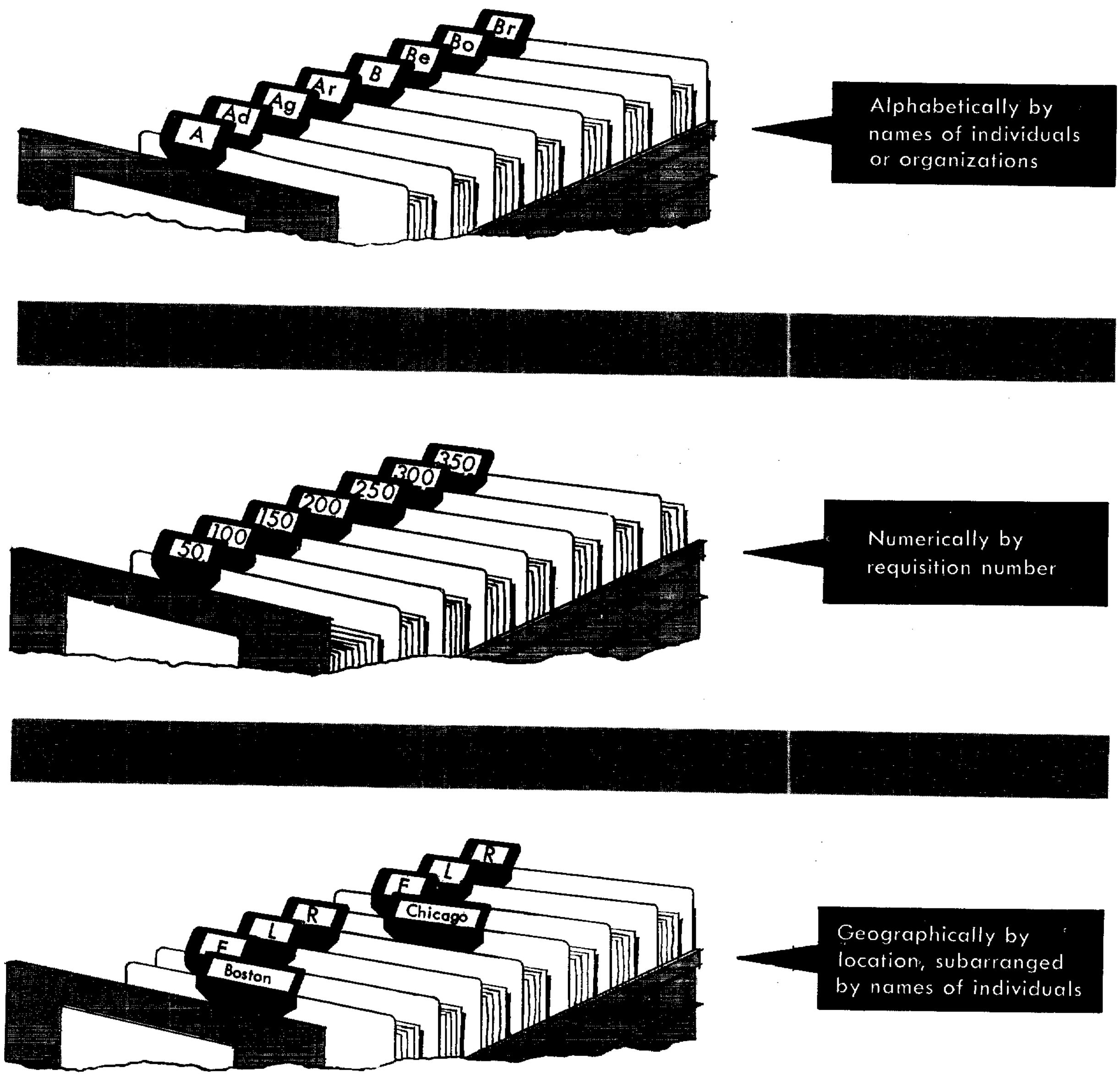


Figure 14

HOW THE MOST OFTEN KNOWN FEATURE BECOMES THE BASIS OF A FILING SYSTEM

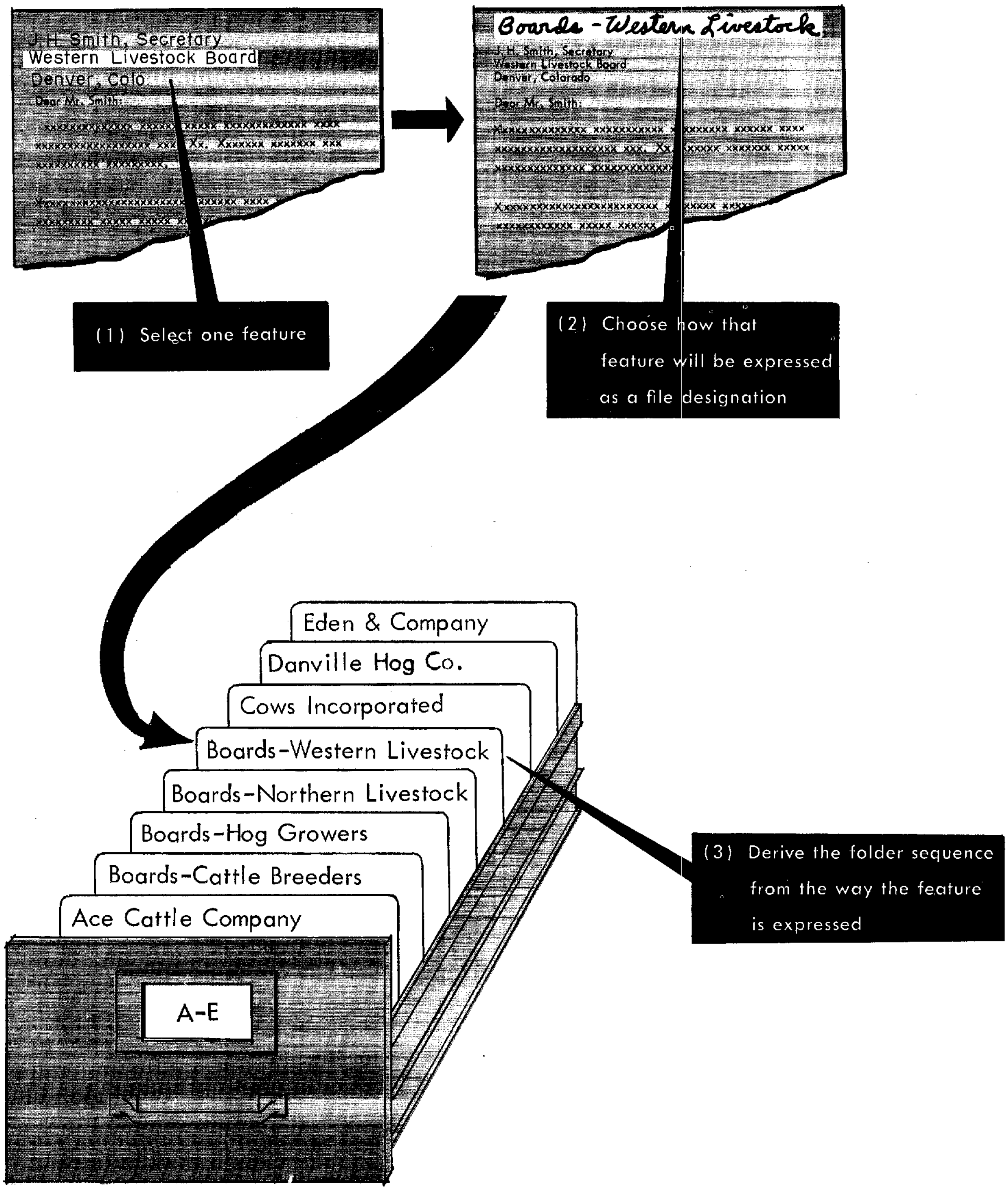


Figure 15

The decisions on such questions are dependent upon a familiarity with the various types of filing arrangements and the problems each presents in day-to-day operations. A "Guide to Systems for Arranging Files," figure 16, pages 22 and 23 at the end of this chapter, summarizes operating problems under each system.

Arranging by Subjects

Choosing the subjects under which to file a document can be extraordinarily difficult. It has rightly been called an art, because proficiency requires extensive study of, and practical experience in, the organization being serviced. Study and experience are most fruitful when they extend over a long period of time, and are at a high enough level to give a good overall view of the organization's activities and plans.

The Concept of Function. Filing by subject is a quest for logical arrangement. In science this is called "classification." In the Federal Government an arrangement based upon *function* seems to provide the key to logical files classification.

If his agency has no subject filing manual, a recordkeeper can find useful ideas on choosing subjects from the agency filing manuals listed below. How do these manuals, prepared by knowledgeable records managers, define a *function?* (Army lists 15 functions, Air Force, 25, Civil Service, 20, and so on.)

Did the records managers in choosing functions use the agency budget and appropriation structure, organizational alinement of program responsibilities, or the decisionmaking process? Once these questions are answered, the concept of function will emerge. Briefly this concept is that functions represent *the most significant work areas* within an agency. Some of the filing manuals which should be reviewed are:

1. *Records Management Files Systems and Standards*
   AR 345-210
   Headquarters, Department of the Army
2. *Maintenance of Records*
   CSC Administrative Manual
   Supplement 178-C
   United States Civil Service Commission
3. *Maintenance of Current Records*
   AFM 181-4
   Department of the Air Force
4. *How to File Correspondence Records*
   OPO 9 (Rev.)
   Office of Plant and Operations
   U.S. Department of Agriculture
5. *Classification and Filing Guide*
   Records Management Handbook No. 1
   Small Business Administration

Document Retrieval. Often topics included in "subject" filing systems are not so much subject centered (informational content of the documents) as document centered. What is frequently called "the subject," for filing purposes, could be the name of the organization originating the document and may not represent the subject content of a document at all. If the recordkeeper is reasonably sure the document will be asked for by this name, he is safe with this type of subject heading.

Sometimes "the subject" is based upon some characteristic of the document, "press releases," for example. As has been noted, titles of forms are often used as subjects, for example, "printing requisitions," or "position descriptions." These are not subjects, insofar as revealing the factual content of the documents is concerned. They are instead retrieval headings—the way people will be most likely to remember where they have seen a fact. Everyone who has worked with records knows how often the inquiry is for "the report with the green cover," or "the letter signed by Jones."

Information Retrieval. In "true" subject filing, the subject topic chosen as the file designation of a document should reflect its informational content. Nearly every document has one or more key sentences that relate it to an office action or transaction. From the nouns in these sentences, the recordkeeper may derive the best description of the subject matter of the document.

If no one word or group of words in the document best describes its subject matter, the recordkeeper must "coin" the descriptive wording identifying its content. Further, the descriptive wording selected may not match the wording on any of the folder labels. A letter may be about "rulers," but there have been too few documents about "rulers" to require a separate folder caption for them. The logical home for such a letter might be a folder with a much broader term as its subject caption, such as "Office Supplies."

Frequently, when a recordkeeper has misfiled a paper by incorrectly classifying it, he may plead, "How could I be expected to know that?" Perhaps he could not be, but he should have realized that he did *not* know. In every organization there are those who do know and will furnish the information when asked. At least, there is no need for guesswork.

More is said about subject filing in chapter V.

Arranging by Location

If records are to be filed by location, the recordkeeper must consistently file at the same level of locational subdivision. Locations range from broad geographic or political areas to very precise subdivisions. An example follows:

United States
  Indiana
    Posey County
      Mount Vernon
        Ward 3

Which locational level should the recordkeeper choose as the basis of his files arrangement? He can file by cities, disregarding counties and States; by counties, disregarding States; or by States, disregarding regions.

Persons doing much locational filing will find a number of reference works handy—the U.S. Postal Guide, organizational directories, city directories, and the like.

Arranging by Numbers (Symbols)

Numeric filing will usually prove most efficient when:

1. Records already bear identifying numbers which will be known when records are requested (invoices, contracts, requisitions, bills of lading, licenses, certificates, freight cards, vouchers, checks).
2. Numbers are shorter than lengthy name designations (projects, catalog price lists, products, locations, appropriations), or subject topics expressed as words, and the amount of records to be filed warrants the filing speed obtainable from numeric sequence.

Moreover, numeric sequencing, although considered a very simple and fast method, is not actually a complete method of filing. Behind every numeric system stands an alphabetical index or classification record or listing that controls the numbers. The time needed to maintain the necessary index or listing must be considered as part of the total filing time under this system.

Numeric file codes (numbers or symbols abbreviating lengthy file designations expressed in words) are used primarily as a timesaver for operating subject files. Much less frequently, file codes are used in very large files as a numeric substitute for an alphabetic arrangement by surnames, or as a numeric substitute for an alphabetic arrangement by names of geographic locations.

File codes are discussed in more detail in chapter V.

Consecutively numbered records can be periodically checked for missing numbers to help insure completeness of files. This sets up a medium for inventory, auditing, and accounting control.

More is said about the aspects of arranging by numbers in chapter VI.

Arranging by Surname (Name or Title)

Surname filing requires the use of standard rules for consistent sequencing, but this will not automatically assure the user that the records will be found when desired. It is necessary to know what *surname* or *title* in the correspondence is to serve as the file designation. This in turn needs communications that are correctly and completely addressed and signed.

Arranging by name is covered in chapter VI.

686-584 O—64——4

Filing feature of document	Usual filing sequence	Most suitable file groups	Need for index file (by second filing feature)	Need for cross-referencing a document within the file	Likelihood that document description used in request will pinpoint file location
Names of people, organizations, or firms.	Alphabetic by name.	Case. Case working. Technical reference.	Normally not needed, except for precedent cases.	If more than one name involved.	Usually. Foreign, organization, and unusual names may be troublesome. The larger the file, the greater the problem.
Names or titles of projects, publications, products, or things.	Alphabetic by name.	Case. Case working. Technical reference.	Normally not needed, except for precedent cases.	If more than one name or title involved.	Sometimes. Project titles may be troublesome. The longer the name or title, the less chance of agreement. The larger the file, the greater the problem.
Geographic areas or location.	Alphabetic by name (often sub-arranged by people, things, etc.).	Case. Case working. Technical reference.	Frequently needed as location is not always known.	If more than one area or location involved.	Sometimes. Record may be requested by city but filed by State, or may be requested by people, organizations, or things without the location given. The larger the file, the greater the problem.
Numbers or symbols.	By number or symbol.	Case. Case working. Technical reference.	Name index needed to obtain number or symbol, not known or incorrectly shown.	If more than one number or symbol involved.	Depends upon widespread use of the numbers or symbols within the office and extent of use on documents received from the outside.
Dates.	By date prepared or used.	Convenience. Transitory. Suspense.	Not needed unless large volume filed only by date.	Not needed.	Usually for suspense. For convenience or transitory files, exact date often not known.
Subject topics.	Alphabetic by subject topic, or by numeric or alpha-numeric file code.	General correspondence (may include cases sub-arranged by names or numbers). Technical reference.	Occasionally an index by names of people, firms, and organizations needed.	If more than one subject involved, or document is brought forward. (See p. 55.)	Unlikely. Request may be vague, and differing terms may be used to describe same document. Relative index may be needed to determine proper subject topic.

Figure 16

Arranging by Date

Very few files are arranged *primarily* by dates and yet almost all papers within a folder are in chronological sequence, usually reverse sequence. Cables, teletypes, and day files are usually arranged by date (thereunder by time if appropriate), although other copies of the same documents are usually arranged by subject. Occasionally an improperly subject-filed

Likelihood of file designation being shown on document when originated	Likelihood of file designation being expressed the same on documents to be filed together	Ease and accuracy in marking a document for filing	Ease and accuracy in sorting and filing
Nearly always.	Usually, except for misspellings. Exchanging personal and organization names causes inconsistency.	Fast and easy, if names can be underlined. Fairly slow if names must be written. Spelling errors may occur in unfamiliar names. Adherence to filing rules required.	Slow and difficult. Eye must scan each letter of each word to determine sequence; words and titles vary widely in length. The larger the file, the greater the problem, and the greater the need for rigid adherence to filing rules.
Usually.	Usually. Difficulties may occur with project and other long titles.	Fairly slow. Key words to be underlined may be buried in long titles. Incomplete titles may have to be completed by handwriting. Adherence to filing rules required.	Slow and difficult. Eye must scan each letter of each word to determine sequence; words and titles vary widely in length. The larger the file, the greater the problem, and the greater the need for rigid adherence to filing rules.
Usually. Location is shown, but not subarrangement file designation.	Depends on consistent choice of locational level for each paper.	Fast, if location can be underlined. Subarrangements often require handwritten designations.	Fairly difficult, depending on number of breakdowns and subarrangements. Precise filing required. The larger the file, the greater the problem.
Nearly always—but sometimes omitted.	Nearly always.	Fast, if numbers or symbols are short or segmented. Numbers or symbols susceptible to transposition and other errors.	Easy, if numbers or symbols are short or segmented. Transposition and other errors likely.
Always.	Always.	Fast and accurate. Marking rarely needed.	Easy and accurate.
Unlikely, since subject, if shown, rarely matches subject outline topics.	Unlikely.	Slow, as content must be read. Use of file code speeds writing, but may require reference to subject outline or relative index. Faulty decisions and errors in writing may occur.	Difficult, if alphabetically filed by word topics. Easier if filed by short file codes. The more complex the code the more difficult the accuracy.

Figure 16—Continued

record is traced by means of the chronologic file copy. Officials frequently use the chronologic file copies to keep informed of the letters written by colleagues or subordinates in their immediate organization. Date filing is also used for "suspense" or "followup" files to remind officials of unfinished actions to be completed by a known date.

V. SUBJECT FILING

Why do we need a written subject file outline in our office?
How do the functions of our office help us prepare a subject file outline?
Should facilitative and program papers be intermixed?
How do we choose needed topics from our agency file manual?
What do we do when we have a need for topics not provided by the agency file manual?
Why are definitions of subject topics helpful?
When do we need an alphabetic name index?
Should we use a file code?

Subject files were defined in chapter III. Vital to their maintenance is consistency in choosing subjects, in turn dependent upon a complete *written* listing of the topics each office expects to use in selecting file designations (folder captions) for individual papers. Many file designations (subject topics) in the listing need to be defined by clearly describing the subject matter content of the papers to be filed under each. Such a list of defined designations, known as a "Subject Outline," becomes the framework of the subject file. It becomes additionally visualized as the topics of the "Subject Outline" become labels on the folders or guides.

Agency Guidance

How easily a recordkeeper can select file headings for a Subject Outline to govern his records usually depends on the guidance his agency has given him. Most agencies have issued subject filing manuals to control the filing of general correspondence. These filing manuals usually give the following kinds of guidance:

1. One or more *Subject Outlines* presenting topics (headings) for arranging (classifying) documents in a hierarchical fashion. The manuals also usually include a prescribed file code representing the subject topics in an abbreviated format. See Appendix A at the end of this handbook for excerpts from a Subject Outline of the United States Civil Service Commission filing manual.
2. An *Alphabetic (Relative) Index* to the Subject Outline, which alphabetically lists each of the topics contained in the Subject Outline, and usually includes many additional subjects under which papers might be looked for. Each entry shows the file designation for papers on that subject. An excerpt from a Relative Index is shown as figure 17.
3. *Written instructions* on approved filing practices for maintaining and using the files once they have been established. The instructions may include provisions for a separate "Name Index" file. They should state agency policy on changes recordkeepers may make in adapting the manual for their files, and policy on clearances for the changes.

Agency filing manuals of necessity vary widely as to the completeness and coverage of their Subject Outlines and Alphabetic Indexes. The Records Management Handbook, *Subject Filing Manuals*, explains the reasons for these variations. An agency filing manual may fit some offices fairly well, but in other offices, it may provide so few usable topics that the recordkeeper must labor to fit the manual to his records. This chapter, while written primarily to aid recordkeepers in adapting their agency filing manual, will also have value to recordkeepers in agencies without a filing manual. The latter recordkeepers will benefit even more from reading the above mentioned handbook

EXCERPTS FROM AN ALPHABETIC (RELATIVE) INDEX TO A SUBJECT OUTLINE

Subject	*Filed Under*
A	
Accounting	See ACCOUNTING
Administrative issuances	RECORDS MANAGEMENT 1
Allotments	APPROPRIATIONS—BUDGET
Annual leave	PERSONNEL 4–1
Appointing authority	PERSONNEL
Appointments (Committee members)	COMMITTEES—MEETINGS
Appointments (personnel)	PERSONNEL 3
Appropriations	See APPROPRIATIONS—BUDGET
Audits	ACCOUNTING
Authorizations (legal)	LEGISLATION—LEGAL
B	
Budget	See APPROPRIATIONS—BUDGET
Budget estimates	APPROPRIATIONS—BUDGET
C	
Cable facilities	COMMUNICATIONS 3
Checks	ACCOUNTING 2
Classification of positions	PERSONNEL 2
Claims	LEGISLATION—LEGAL
Collections	ACCOUNTING
Committees	See COMMITTEES—MEETINGS
Communications	See COMMUNICATIONS
Correspondence	RECORDS MANAGEMENT 1
Creation of records	RECORDS MANAGEMENT 1

Figure 17

Program and Facilitative Records

Before preparing a Subject Outline for an office, files personnel should consider the need to distinguish between "program" and "facilitative" records.

- *Program* (mission or line) records are those which relate to the reason for which an agency or within it a particular office was established—to make loans, to adjudicate claims, to operate laboratories, to issue research publications, to gather and disseminate statistics, or to carry out other basic responsibilities.
- *Facilitative* (housekeeping, staff, or administrative) records are those that reflect Government-wide activities of this nature. They include general activities such as: Budget, personnel, space, parking, office supplies, and printing and reproduction; and managerial activities concerned with organization, systems, methods, and procedures.

These facilitative activities are carried out in similar fashion throughout the Government. This similarity is the result of the efforts of the four staff agencies—Bureau of the Budget, United States Civil Service Commission, General Services Administration, and the General Accounting Office. Most offices (other than agency staff offices for which these activities, are, in effect, program activities) can keep records on administrative transactions under basically the same set of subject topics. The disposal of "facilitative" records is subject to control by the General Records Schedules in Title 3 of General Services Administration Regulations.

In planning a subject file, the recordkeeper should consider separating "facilitative" from "program" records when the following conditions are met:

- The volume of the subject file occupies more than one file drawer in a year.
- The retention period of "facilitative" records has a considerably shorter life than the "program" records.
- The agency filing manual lists separately topics for "facilitative" and "program" records.

The Office Subject Outline

How many modifications a recordkeeper must make to the Subject Outline in the agency manual governs whether he makes notations directly on the published manual pages, or prepares a separate document for his Office Subject Outline. Often for easy reference, a separate document is best. *Any changes or modifications must be in accordance with agency rules governing changes, and clearances of the changes.*

Preparing the Subject Outline for an office, along the lines recommended below, may seem a formidable task, but a good Outline pays dividends in helping to find facts fast. No one needs to be 100 percent perfect in selecting in advance all needed subject topics. During the daily filing, a recordkeeper is sure to discover some needed topics he did not foresee. But the better he anticipates his need for topics, the easier filing will be. Of course, if agency records managers can help each recordkeeper prepare his Office Subject Outline, a more uniform adaptation of the agency filing manual will result.

Step 1. Itemize Records To Be Filed by Subject

The recordkeeper should start by listing those folder captions now used in his office as subject topics. Admittedly, these may not be complete. To think of possible needed additional topics, he must consider the activities (jobs, tasks, functions, projects) of the office. As best he can, a recordkeeper should include in this preliminary topic listing all the topics needed to cover the activities an office is responsible for. Checking through available organizational and functional charts, as well as the records to be subject filed, will help bring needed topics to mind.

If the "program" and "facilitative" records are not already separated, listing them separately will aid in making this division, if desired.

To aid in deciding when subtopics are needed, the listing should show in inch measurements the approximate amount of records to be included before file cut off under each heading. Any topics covering records no longer being created, such as those covering activities no longer being performed by the office, should be struck from the list.

Step 2. Reconcile List With Agency Manual

Only after studying the subject topics now being used, and adding to them topics needed to cover all the functions the office performs, is a recordkeeper ready to accept the help of his agency filing manual.

Reconciliation will normally consist of (1) dropping or combining some subject topics from the manual, particularly below the primary level; (2) adding some subject topics to take care of gaps that appear; (3) changing the wording of the folder headings in the preliminary listing to conform to the topic wording in the manual; and (4) inserting newly added topics into the Relative Index of the manual.

Dropping or Combining Topics. Figure 18, a simulated page from an agency manual, provides a basis for illustrating dropping or combining subject topics. The page covers the category, PERSONNEL, which is the *primary* topic. Progressively subordinate to it are *secondary, tertiary,* and *quaternary* topics. All told there are 55 topic headings on this page of the manual. If all 55 headings are used, they represent 55 folders. If a minimum of 10 papers is placed in each folder in a year, 55 folders will hold 550 papers. If a maximum of 75 papers is filed in each folder, 55 folders will maintain 4,125 papers.

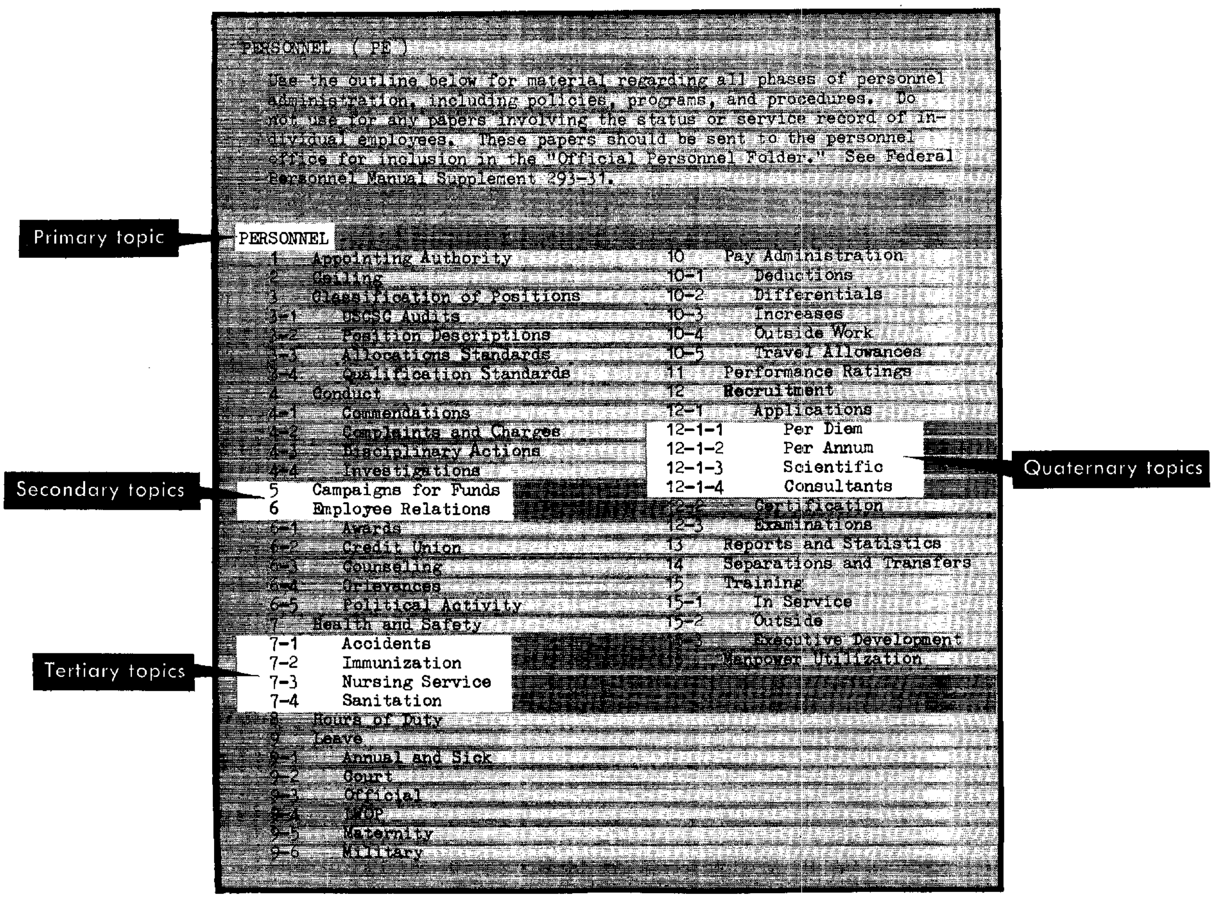
The small office might have, however, only 200 papers to file annually under PERSONNEL. Clearly, 55 folders are not needed for 200 papers if the recordkeeper hopes to approximate an average of about 25 papers (roughly one-fourth inch) per folder, per year. What then?

Using his knowledge of the subject matter coverage and the amount of subject-filed records of his office, the recordkeeper might fit his records by choosing the primary topic, PERSONNEL, and eight secondary topics. He might do it this way:

PERSONNEL (general items, plus categories 1, 2, 8, and 16)
- 3 Classification
- 5 Campaigns for Funds
- 6 Employee Performance (4, 6, and 11 combined)
- 7 Health and Safety
- 9 Leave and Pay Administration (9 and 10 combined)
- 12 Recruitment and Separation (12 and 14 combined)
- 13 Reports and Statistics
- 15 Training

In this way he dropped tertiaries and quaternaries. He combined some of the secondaries. In the general folder, under the primary heading, PERSONNEL, he placed material on appointing authority, personnel ceilings, hours of duty, and manpower utilization. Assuming there are approximately the same number of papers in each of the 9 subject folders chosen,

SAMPLE PAGE FROM A SUBJECT OUTLINE



PERSONNEL (PE)

Use the outline below for material regarding all phases of personnel administration, including policies, programs, and procedures. Do not use for any papers involving the status or service record of individual employees. These papers should be sent to the personnel office for inclusion in the "Official Personnel Folder." See Federal Personnel Manual Supplement 293-31.

PERSONNEL

1	Appointing Authority	10	Pay Administration
2	Ceiling	10-1	Deductions
3	Classification of Positions	10-2	Differentials
3-1	USCSC Audits	10-3	Increases
3-2	Position Descriptions	10-4	Outside Work
3-3	Allocations Standards	10-5	Travel Allowances
3-4	Qualification Standards	11	Performance Ratings
4	Conduct	12	Recruitment
4-1	Commendations	12-1	Applications
4-2	Complaints and Charges	12-1-1	Per Diem
4-3	Disciplinary Actions	12-1-2	Per Annum
4-4	Investigations	12-1-3	Scientific
5	Campaigns for Funds	12-1-4	Consultants
6	Employee Relations	12-2	Certification
6-1	Awards	12-3	Examinations
6-2	Credit Union	13	Reports and Statistics
6-3	Counseling	14	Separations and Transfers
6-4	Grievances	15	Training
6-5	Political Activity	15-1	In Service
7	Health and Safety	15-2	Outside
7-1	Accidents	15-3	Executive Development
7-2	Immunization	16	Manpower Utilization
7-3	Nursing Service		
7-4	Sanitation		
8	Hours of Duty		
9	Leave		
9-1	Annual and Sick		
9-2	Court		
9-3	Official		
9-4	LWOP		
9-5	Maternity		
9-6	Military		

Figure 18

EXAMPLE OF DROPPING OR COMBINING SUBJECT TOPICS FOR 350 PERSONNEL DOCUMENTS PER YEAR

The three situations for decision are:

1. How many topics are needed for 100 papers on "Training"? If the 4 topics included in the Outline of figure 18 are used, the papers will average about 25 per folder, the average number he was aiming for.
2. How many topics are needed for the 150 papers on "Recruitment"? If all 8 of the available topics in the manual are chosen, papers would average about 19 per folder, well above the minimum number of 10 required. (Certain of the quaternary topics might be combined, such as those for "Scientific" and "Consultant" recruitment, if there is only a small amount of papers on recruitment in any of these specific categories.)
3. How many topics are needed for the 100 papers spread among the remaining manual topics under PERSONNEL? Assuming the papers were properly distributed for such a selection, the remaining 100 papers might be placed in the folder for the broad primary topic, PERSONNEL, and in 5 secondary topic folders. This would provide adequate subject matter coverage and still average about 17 papers per folder, well above the minimum of 10.

The chosen topics might be as follows:

PERSONNEL (General items, plus categories 1, 2, 5, 8, 13, and 16)

3 Classification
6 Employee Performance (4, 6, and 11 combined)
7 Health and Safety
9 Leave and Pay Administration (9 and 10 combined)
12 Recruitment
12–1 Applications
12–1–1 Per Diem
12–1–2 Per Annum
12–1–3 Scientific and Consultants (12–1–3 and 12–1–4 combined)
12–2 Certifications
14 Separations and Transfers
15 Training
15–1 In Service
15–2 Outside
15–3 Executive Development

Figure 19

this topic selection for 200 papers averaged about 22 papers per folder.

There could be many other examples of this type.

What if there were 350 documents annually, of which 100 were in the training area, 150 in the recruitment area, and the remaining 100 spread among the other areas of personnel? While this handbook cannot treat this subject in great detail, figure 19 illustrates possible topics to select for the 350 papers described above.

Adding Topics. A real problem for a recordkeeper is to recognize gaps in the manual where he needs additional topics. The listing prepared at the outset should help here. Gaps are more likely to appear in the topics for "program" than for "facilitative" records. Figure 20 is a practical exercise in gap filling.

EXAMPLE OF ADDING NEW TOPICS TO AN AGENCY SUBJECT OUTLINE

The agency manual had the primary topic, EDUCATION, broken down as follows:

EDUCATION
1 Federal Aid to Education
2 Scholarships—Fellowships
3 Schools (use for materials involving school facilities and operations other than staff or teachers)
4 Staff—Teachers

In listing current subject topics used in the office, the recordkeeper found 10 or more papers per year on the following subject areas:

Education in foreign countries
Nursery schools
Parochial and private schools
Recruiting teachers
Salaries

WHERE SHOULD THESE NEEDED ADDITIONAL SUBORDINATE TOPICS BE ADDED?

First: Relate them to existing topics.
"Nursery," and "Parochial and Private" schools could be related to topic 3, "Schools."
"Recruiting" and "Salaries" could be related to topic 4, "Staff—Teachers."
"Foreign Education" does not relate to any present subordinate topics, which concern education in the United States.

Next: Determine where within the existing subordinate topics to place inserted topics. Should they all be additional secondary topics or, as in this example, should some of the additional topics be subordinate to existing secondary topics?

Here is the revised subject, EDUCATION, with the added topics italicized:

EDUCATION
1 Federal Aid to Education
2 Scholarships—Fellowships
3 Schools (use for materials involving school facilities and operations, other than staff or teachers)
3–1 Nursery
3–2 Parochial and Private
4 Staff—Teachers
4–1 Recruitment
4–2 Salaries
5 Foreign

Figure 20

Before inserting topics, the recordkeeper should ask himself:

> Does the gap in subject coverage really exist? Or, has a usable topic in the manual been overlooked because it is expressed in unfamiliar wording?
>
> Will there be enough papers to fit under the proposed topic (10 or more) to warrant adding it?

If a gap exists, the recordkeeper must determine at what level of subordination to insert the needed additional topic. Levels of subordination should be built upon logic. Inserting topics at the wrong level can destroy the logic of the Outline. There follow some examples of errors in adding topics.

Recordkeepers should beware of mixing at the same level of subordination topics reflecting (1) actions taken and (2) objects acted on. This error results in one paper fitting under two different topics. For example, the agency manual has a primary topic, FRUIT, with three secondary topics, "Apples," "Peaches," and "Pears." There is a need to insert an additional topic, "Canning of Pears." The wrong and the right ways of adding this topic are shown below.

Wrong	*Right*
FRUIT	FRUIT
1 Apples	1 Apples
2 Peaches	2 Peaches
3 Pears	3 Pears
4 Canning	*3–1 Canning*

Another common error recordkeepers should avoid is placing specific topics, which are components of a broad topic, on a par with the broad topic. For example, the agency manual has among its primary topics, BUDGETS, COOPERATION, and FRUIT. There is a need to insert additional topics, "Apples," "Peaches," and "Pears." The wrong and the right ways of adding these topics are shown below:

Wrong	*Right*
APPLES	BUDGETS
BUDGETS	COOPERATION
COOPERATION	FRUIT
FRUIT	*1 Apples*
PEACHES	*2 Peaches*
PEARS	*3 Pears*

Wording Topics Clearly and Uniformly. Clear wording for all topics is vital to consistent filing. An agency filing manual contains carefully phrased subject topics which provide clear folder label captions. In some agencies, if manual wording applies to the records of an office, the wording is mandatory for folder label captions in that office. The recordkeeper should compare the wording of his present folder labels with that of the agency manual. If at all possible, he should adopt manual wording even though he is not required to do so by his agency.

Hints for selecting clear captions, particularly for added topics, follow:

> Terms understandable to everyone using the files are best. Maybe "dust" is better than "particles"; "oil wells" may be better than "petroleum engineering."
>
> Two words may give the topic broader coverage; for example, "Supplies—Equipment."
>
> Long headings (more than four words) in a caption make it hard to recognize quickly the types of papers fitting a topic. Captions like "Copper-tungsten-zinc all-phase diagram" are hard to use.

Figures 18 and 19 contain examples of problems of conformance by the recordkeeper who is combining manual topics. In this situation he has only enough papers on "Employee Relations," "Conduct," and "Performance Ratings" to make up one folder, and must choose the proper caption for that folder.

Reconciling the Alphabetic (Relative) Index. An extremely efficient tool, when the recordkeeper seeks the subject file designation for a document, is an alphabetic subject index such as that shown in figure 17. The larger the file, the greater is the timesaving value of such an index.

When topics are added to the agency manual, underlining will distinguish them in the draft of the Office Subject Outline. Then after the Office Subject Outline is completed, these marked additional topics can be inserted in their proper sequence in the Relative Index of the agency filing manual, if not too numerous. If additions are numerous, some pages of the manual Index may need to be redone. New terms may subsequently be introduced whenever and wherever needed.

Step 3. Define Topic Coverage

The recordkeeper can be more certain of filing the same type records under the correct topics if the Office Subject Outline includes definitions of the kind of records he proposes to file not only under each primary, but also the subordinate headings.

Most agency filing manuals confine their definitions to primary subjects. By using "See" or "See also," some manuals indicate other closely related primary topics to use for materials that might be mistakenly filed under the particular primary topic. Appendix A gives examples of such references at the primary level.

A few manuals include definitions of all listed headings. One of the best examples of full explanation below the primary levels is the Army Manual, a page of which is reproduced as figure 21. Such descriptive detail is sometimes called "scope notes," since coverage is basic in the definition.

The recordkeeper usually will find that the time he spends in defining the coverage of subject topics can save him much more time later on when he is operating his subject file. By defining topics, he can discover how well the caption wording actually describes the records he proposes to file in the folder, and can consistently file subject-related papers together. Further, he can bring to light possible overlapping coverage between topics, which he might not have discovered without defining the topics.

Step 4. Prepare Final Office Subject Outline

The final step includes the following actions:

- Placing the topics in exact desired sequence. As topics were selected or added to the initial rough topic listing, the entries may not have been kept in the exact sequence of the manual and its file code. In this final draft the topics must be in the precise order the folders should follow in the file drawers.
- Typing the Outline in clear, neat format (if a markup of the agency filing manual would be unsightly). Indentation is used to show different levels of subordination. Adequate spacing between topics should be allowed for inclusion of definitions and other notations.
- Testing out the Outline. At least 1 month's papers from the old file, and as much of the current filing as possible, should be checked against the Outline. Filing the papers in the old file under the old system is continued, however, until all persons concerned are fully ready to install the new system.
- Reviewing the Outline with the record users. By reviewing the Outline with those who use records, the recordkeeper can build confidence in the system, and improve it as users offer helpful suggestions.

Some Rules on Agency Manual Adaptation

From the preceding step-by-step discussion, a number of firm conclusions, having general applicability, can be drawn. These conclusions can be called rules.

The first rule is *don't prepare a folder for every topic included in the agency manual.* Failure to observe this rule will result in many empty folders. Manuals are constructed to take care of a subject in some depth, in case depth is needed. Most offices do not need much depth. Obviously they should use only those primary topics for which they have papers. They should use secondaries and the finer breakdowns only when the volume (specified in the second rule) warrants their use.

The second rule is *select 1 topic (folder) for about every 25 papers expected to be in the file at the time the records are ready for cutoff.* Unless a sufficient number of topics (folders) are provided, folders may con-

SAMPLE OF AGENCY MANUAL
WITH DEFINITIONS OF FILING CAPTIONS

File No.	Description	Disposition
	jectives and command responsibilities, safety program studies, methods for accident prevention and hazard control, safety reporting systems, and other integral policies of the safety program.	Offices at major or intermediate command headquarters: 6 years. All other offices: 2 years.
606-02	*Safety survey files.* Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures, including survey reports, changes made as a result of the findings of the surveys, and related papers.	All safety offices: Permanent. Cut off annually. Offices surveyed: When obsolete, superseded or office discontinued, whichever is first.
606-03	*Safety liaison files.* Documents created in the coordination and exchange of information with private and public safety agencies, and in representing the Army on safety councils and committees, but exclusive of documents which are an integral part of the safety instructions files or safety standards files described in this section.	All safety offices: 2 years.
606-04	*Safety technical files.* Documents created in providing technical review, advice, and guidance with regard to identifying and eliminating or controlling safety hazards.	All safety offices: 2 years.
606-05	*Safety standards files.* Documents created in the development of safety standards and practices in: developmental and production operations; the safe location, design, layout, and construction of facilities where explosives are handled or operations are exposed to explosive hazards; the safe handling, storage, and movement of explosives and other dangerous materials; and other areas requiring safety standards. The files include recommendations, coordination actions, studies and other actions taken to establish standards.	Office responsible for developing standard: 10 years after supersession or obsolescence. Other offices: 2 years.
606-06	*Safety deviations files.* Documents relating to deviations, waivers, and exemptions from safety regulations established for operations, machines, quantity distances, buildings, or facilities. Included are requests for waiver, deviation, or exemption; approvals or disapprovals; sketches; drawing; and related documents.	On expiration or disapproval of the waiver, deviation, or exemption. Files pertaining to contracts will be disposed of with the related contract files.
606-07	*Accident experience files.* Documents created in the statistical reporting of Army accidents and in summarizing and analyzing Army accident experience and trends involving Army aircraft, motor vehicles, fires, personal injury, damage to property and other accidents. This definition does not include documents relating to the investigation of specific accidents, accident claims files, nor the control documents accumulated by data processing activities for the preparation of statistical reports.	Office performing Army-wide staff responsibility: Permanent. Cut off annually. Other offices: 3 years.
606-08	*Safety data processing files.* Documents used to accumulate data for preparation of safety program reports by data processing procedures. The files consist of punched cards, reports and similar papers which reflect the time and date of accidents, category, personnel data, property damage data, or other pertinent information.	Punched cards: 1 year. Cut off end of each reporting period. Reports from which cards are punched: 3 months. Cut off end of each reporting period.
606-09	*Accident case files.* Documents relating to individual accidents, such as reports of accidents, and investigations thereof, involving Army aircraft, Army motor vehicles, fires, damage to Army property, and injury to or death of military and civilian personnel.	Office performing Army-wide staff responsibility for safety function: Permanent. Offices, other than above, performing review and determination responsibility: 10 years. Offices initiating reports and investigations: 2 years.
606-10	*Driver's report of accident files.* Duplicate copies of driver's reports of accidents, except when filed as a part of a report of survey or when constituting an exhibit to a report of investigation required by AR 25-20.	2 years.
606-11	*Flight safety messages files.* Telegraphic messages used to inform aviation activities of aircraft accidents and their causes in order to prevent the recurrence of similar accidents.	1 year.
606-12	*Safety awareness files.* Documents created in developing or selecting materials, such as posters, placards, cartoons, literature or other means of making personnel aware of safety hazards.	2 years.
606-13	*Safety awards files.* Documents created in the consideration and selection of commands, installations, activities, and individuals, for recognition of outstanding effort and achievement in the prevention of accidents.	Office performing award selection responsibility: Permanent. Cut off annually.

Figure 21

tain more than the maximum limit of about 75 papers. It would take a long time to look through them, and even then, the wanted paper might be overlooked. In addition, overthick folders slow down filing.

On the other hand, too many subordinate topics could mean many folders with only one or two papers in them. Too many choices make it hard to file consistently. The same type papers are likely to be split among the folders for closely related topics. A separate folder for a subordinate topic normally should not be established unless a minimum of about 10 papers is expected.

The third rule is *have no more than three levels of subordinate topics within a primary*. The relationship of deeply subordinated topics to their primary topic may be difficult to grasp. Two levels of subordination within a primary topic normally provide enough precise breaking down of that topic. Three levels are still acceptable, but more than three begin to hide the topic relationships. If there are too many levels, corrections may be made by disregarding the primary topic and elevating the present secondaries to primaries, the tertiaries to secondaries, and so on. Or, corrections may be made by rewording the primary topic caption to restrict it to a less broad subject matter area.

The fourth rule is *to rely on primary topics for complete subject matter coverage*. A Subject Outline is expected to provide a logical home for every paper filed by subject in an office. To avoid the need for folders labeled "Miscellaneous," the primary topics have been carefully selected so that they provide complete subject matter coverage.

Recordkeepers should understand that the total coverage of all subordinates need not equal the total coverage of their primary. If there is a gap in the coverage of the topics at any subordinate level, a paper can be filed in the appropriate folder at the next higher level, even in the primary folder.

Subject File Codes

As mentioned in the preceding chapter, file codes (numbers or symbols used to abbreviate lengthy file designations otherwise expressed as words) are almost exclusively associated with subject files. Figure 18 illustrates subject file codes. There, by use of a combination letter and number file code, the lengthy file designation, "PERSONNEL—Recruitment—Applications—Per Annum," was abbreviated to "PE 12–1–2."

The format and structure of the subject file codes vary widely from agency to agency. Some code symbols consist of unsegmented numbers—"1207"; others of segmented numbers—"14–3–4"; and others of combinations of words or letters and numbers—"A–12–2," "PERSONNEL 12–1–2," or "PE 12–1–2." Each agency filing manual usually will specify the approved file code format.

File codes have both advantages and disadvantages. They save time in writing subject file designations, in recognizing filing sequences, and in sorting and filing records. However, a disadvantage lies in the fact that the file code symbols rather than the subject topics themselves will determine the sequence of the folders at each level of subordination. If a recordkeeper cannot remember an assigned file code symbol for a particular subject topic, he must first look up the code symbol in his Subject Outline before he can find the folder for that topic in the file. Further, writing errors such as transposing or otherwise writing wrong code numbers can easily go unnoticed and cause papers to be lost. Unless file codes are required by an agency manual, a recordkeeper may find that adopting them for small subject files of a drawer or so per year may result in more trouble than they are worth.

The Name Index

In some offices, needed records can be found more rapidly by maintaining a separate Name Index to the subject file. This Index is arranged alphabetically by names of persons or organizations referred to in correspondence or documents.

When To Use. When planning a subject file, the recordkeeper should consider establishing a

686-584 O—64——5

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

separate alphabetic Name Index when the following conditions are met:

- Records are frequently requested by the names of individuals or organizations concerned, rather than by subject.
- Most of the material consists of correspondence with many persons or organizations outside the agency. Also such correspondence covers a wide variety of subjects. However, if these records are not filed by subject, but are, for example, case files subarranged alphabetically by names within the subject file, then an alphabetic Name Index is *not* needed.
- The quantity of subject-filed material is large, perhaps more than one file cabinet a year. In small subject files the recordkeeper usually can locate needed records without a Name Index.

Offices should not hesitate to discontinue an alphabetic Name Index that is little used. The fact that it occasionally helps to locate a requested document becomes a managerial decision of weighing cost versus benefits.

How To Establish. If needed, the Index should be letter size. It should consist of extra copies of outgoing letters of distinctive color, a copy produced by an office copier, or letter-size cross-reference forms such as OF 21. See chapter VIII, page 54.

The work of keeping up a Name Index can be reduced if a limit is placed on the type of letters for which extra index copies are made. For example, the types of communications most often asked for by name are those addressed to supervisors in agency headquarters and to important State officials. Consequently, Name Index copies are needed only for correspondence with these persons.

When the recordkeeper marks the subject copy for filing, he should at the same time also mark the Name Index copy. The file designation of the subject file copy should be marked in the upper right corner of the Name Index copy. Also the name or title under which the Index copy will be filed should be underscored. See figure 22. The following are examples of underscoring various types of names or titles on the Name Index copy:

1. Correspondence with private individuals should be filed by the last name of the individual addressed.

   Mrs. Mary Brown
   1330 Ivy Street
   Seattle 5, Washington

2. Correspondence with officials of commercial concerns should be filed under the name of the company or organization. In the example given below, if the man-

AN ALPHABETIC NAME INDEX TO A SUBJECT FILE

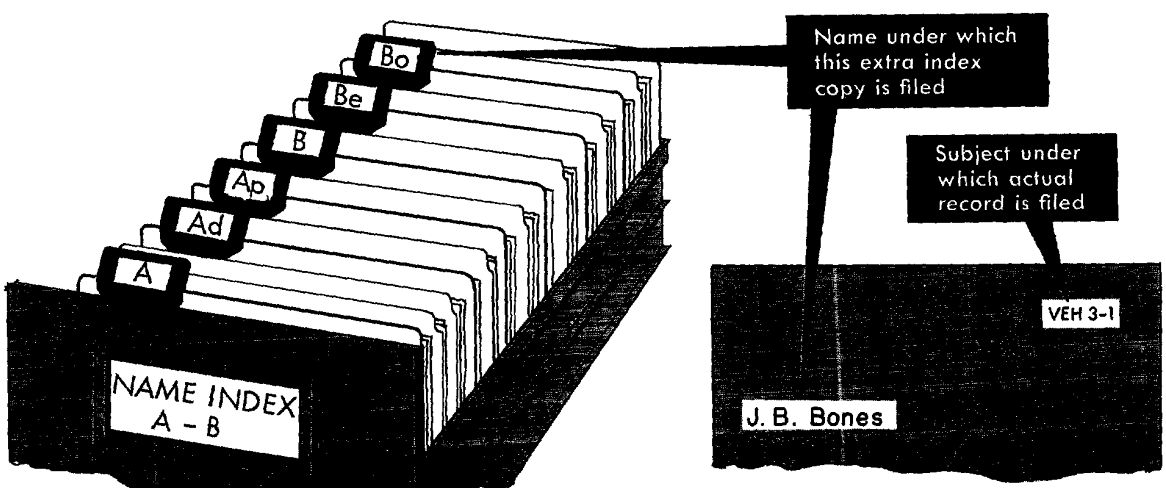


Figure 22

ager of the company is better known than the company, a cross-reference under "Dough" might be advisable.

Mr. John Dough, Manager
Crusty Baking Corporation
Chicago 12, Illinois

3. Correspondence with officials of the recordkeeper's agency should be filed under the name of the principal organizational unit, disregarding such terms as Bureau of, and Office of

To: U.R. Wright,
Forest Division
Bureau of Land Management
Interior Department

VI. CASE FILING

Why is disposal planning so important in our case filing?
Can we recognize the essential papers within our case folders?
How do we separate case working and other nonessential papers?
What do we do when our case folders get too full?
Are there any special cautions for cases arranged either alphabetically or numerically?
What should we do about indexes and cross references?
What do we do with papers that may or may not become cases?
What information goes on case folder labels?
How many guide labels will we need?

The major problems connected with case-filed records are closely tied in with the need for better disposal planning. While planning the system for arranging and operating case files, records personnel should build into the system procedures facilitating eventual disposal of records. To facilitate disposal, they should: (1) Obtain a clear understanding of what constitutes the essential papers of each case, (2) develop surer standards for identifying and segregating case working and other nonessential short-lived papers, and (3) have easily understood definitions of what are inactive cases, so that such items can be kept separate from the active file.

The Essential Papers

Case files usually consist of papers which are *recurrent* as to preparation and *repetitive* as to type of data recorded. Normally they are concerned with transactions that have a definite beginning and ending in point of time.

The recurrent and repetitive kind of information going into a case file enables records personnel to promote standardization by making such decisions as: *"Z type of case shall consist of papers A, B, C, and so on."* This standardization relates primarily to case content although records personnel should not neglect standardizing the format of cases as well. Standardization should be concentrated on basic papers needed in each case history folder to tell the whole story of that case. These essential papers are almost always the items that need to be kept longest. Frequently they have legal overtones.

To develop this kind of standardization, it is necessary to examine closely existing folders, to list precisely the documents found therein, and then to determine which are the papers needed to give a complete picture. Because case files collect the same kind of documents for each transaction, each inclusion or omission of a kind can affect as many papers as there are individual cases comprising the total file. Therefore, offices can waste hundreds of man-hours if their records management officers do not properly determine in advance what essential papers go into the case files, and how each file will be constituted. See figure 23.

Things To Avoid in a Case Folder:

- Extra words or poor identification on label
- Excess writing on file designation of each paper
- Needless papers filed
- Hard to dispose of short-term value papers intermixed with valuable papers

Figure 23

Some of the best standardization of case folder contents has been accomplished with project files. Projects frequently are detailed studies of a particular matter and usually result in the preparation of formal findings or reports. They often cover an extended period of time.

Essential papers characteristic of project files, hence subject to standardization, may include:

1. Papers authorizing the project, and describing its scope, purpose, objectives, and methodology.
2. Selected samples of documents used during the course of the project.
3. A document which signifies completion of the project. The closing document is usually the final report, publication, action, or legislative proposal or other end product for which the project was authorized.
4. Intermediate progress reports showing significant stages of development, summaries of data, and special tabulations.

Working and Nonessential Papers

This basic type of record was briefly described in general terms in chapter III, but that description was not in enough detail to enable recordkeepers to pinpoint their case working and nonessential papers. In every office the description needs to be restated to fit the case working papers kept by the office. For example, the working papers for contract cases are different from the working papers of projects, or of personnel cases, or of commodity cases.

Actually, which papers are separated from the essential papers and are classed as working or nonessential papers depends on a difference in disposability. Much of the significant data in the working papers may be adequately summarized and included in the essential case papers. Therefore, the bulky working papers are disposable after a much shorter retention period after the close of the case, and should be separated from the essential papers. The recordkeeper usually will have received guidance from the agency records management officer so that he makes the right decision in filing the working papers separately. This assures that the separation will be in conformance with the approved records disposal schedules for case-filed papers.

Despite the variety of types of working or nonessential papers on cases, the key point is to recognize them and keep them separate from the essential papers. How the recordkeeper separates working or nonessential papers depends on their volume, the needs of records users, and the frequency and ease of eventual records disposal.

Possible varieties of case working or nonessential papers may be illustrated by a typical project file. Projects can generate:

1. Voluminous, easily recognized collections of cards, questionnaires, summary sheets, and other background papers involved in gathering and tabulating data. These would be in separate drawers or cabinets from essential documentation papers.
2. Short-lived correspondence or papers involving routine administration of the case, transmitting papers between headquarters and field offices, and the like. These have no more value than general correspondence-type transitory papers. Short-lived case correspondence may be kept on one side of the basic case folder, or in a separate folder behind the basic case folder, or even intermixed with the more voluminous separate working papers, if such a file is established.
3. Peripheral papers—that is other papers which do not belong with the essential papers, but which have greater value than the short-lived correspondence mentioned above. These are frequently segregated within the case folder by labeling them "temporary" and placing them on one side of the folder and the essential papers on the other side. If necessary, short-lived case correspondence may be intermixed with these "peripheral" papers.

Figure 24 illustrates the three separation methods described above. The United States Civil Service Commission with the Official Personnel Folders and the Social Security Administration with its claim files employ the third method illustrated.

Potential Case Papers

Offices should standardize the filing of preliminary correspondence and other records accumulated before a case folder is formally established. Sometimes preliminary inquiries

686-584 O—64——6

will quicken the establishment of a case. In any event, potential case papers will often be referred to and the handling of the inquiry will be helped by consistency of practice in their "prefiling."

These papers should be filed in a pending or suspense file until a final decision is made on formalizing the case. If a folder is established, the recordkeeper should remove pertinent papers from the pending file, and place them in the case folder. The recordkeeper should also cut off the pending folder each year, to retire those preliminary papers not leading to a formal case. He should check through the folder first, to make sure he has not overlooked bringing forward all papers on established cases.

Filing by Name

Filing by name in large case files is not as simple as it may seem at first. The problem is to get consistency. Only if standard rules have been followed, can persons, especially those who do not do the filing, find records in an alphabetic file, particularly in a large one involving more than 2,000 names. Names with vowels dropped from them, possessives, names containing compass terms or numerals, compound words, hyphenated surnames, and

WAYS TO SEGREGATE TEMPORARY FROM ESSENTIAL PAPERS

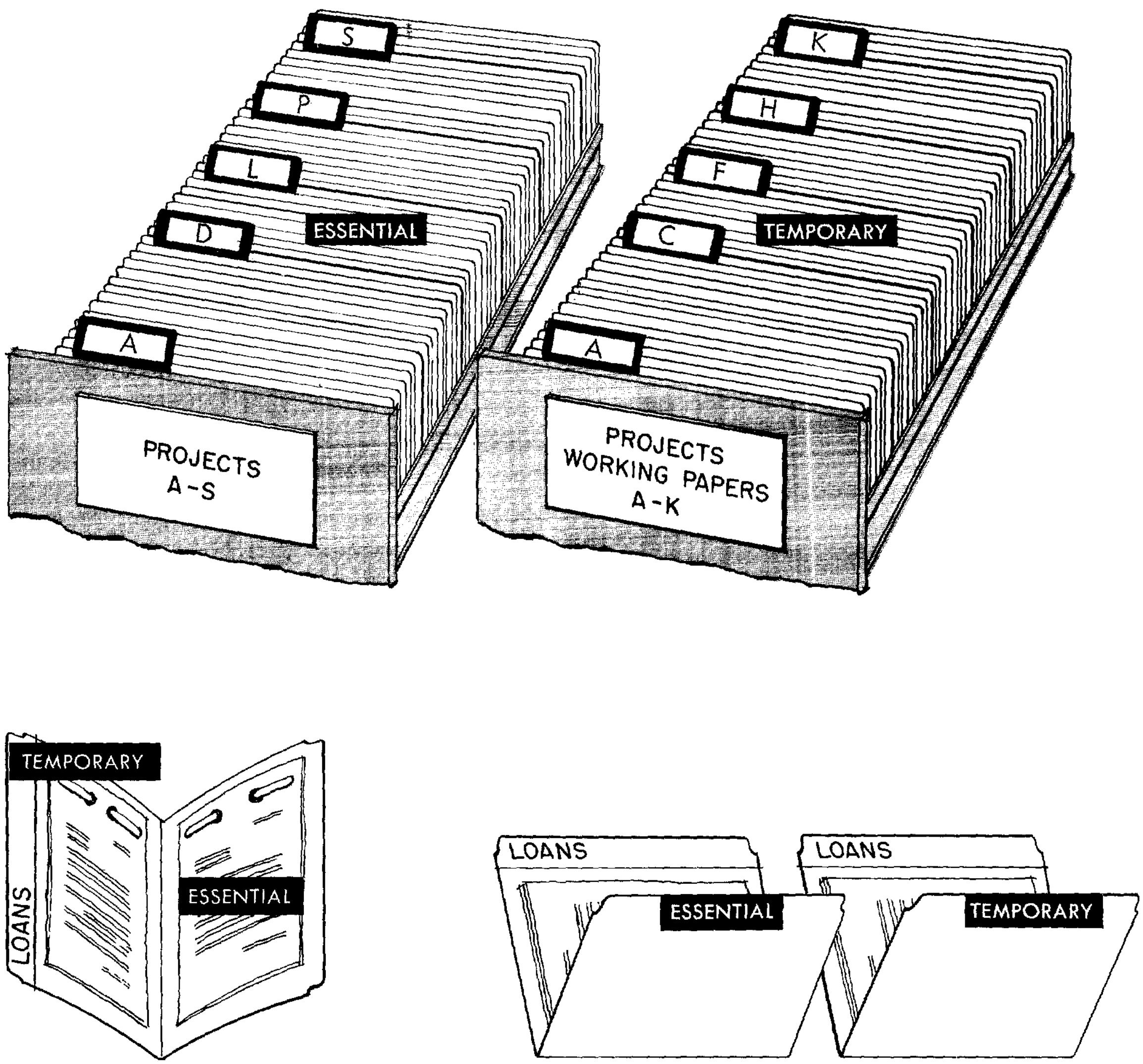


Figure 24

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

name appendages force the recordkeeper either to formulate his own rules, or to follow those developed by the experts.

Four authorities which publish standards are:

"Rules for Filing Catalog Cards," American Library Association

"Filing Rules for Dictionary Catalogs of the Library of Congress"

"Rules for Alphabetical Filing," American Records Management Association

"Report of Z-39 Subcommittee on Indexing," American Standards Association

Appendix B presents in summary form some of the generally applicable alphabetic filing rules. These were compiled by the Department of the Army.

A document may be many folders away from where it should be if files personnel do not consistently apply such standard rules or their equivalent. Disregarding rules is the most common cause for "misfiling" of case files arranged by names.

Names are usually arranged in strict alphabetic order, letter by letter, to the end of each word. Sometimes it is questionable which part of the name is to be used. The usual practice in the United States is to use the full surname, including hyphen compounds, with all prefixes and to file exactly as spelled, disregarding umlauts, accents, and other diacritical marks used with foreign names, thus:

d'Alembert	Macdonald
Dalton	Mayer
de Secour	McCall
Devon	M'Lean
Di Stefano	O'Brien
El-Abd	Obst
El Al	O'Daniel
Fitzgerald	Okin
Fitz-Hugh	Tenant
Int'feld	Ten Eyck
L'Abbee	Vanner
Labor	Van Ness
La Chappelle	Vonner
MacAllister	Von Rath

Similar and Identical Names. Sequencing papers by verified names should not be a problem. The problem, however, becomes complicated when the exact spelling of the name cannot be established or when a group of people all have the same name. In such instances secondary evidence is introduced to pinpoint the individual. Common items of secondary evidence are birth date; street address; telephone number; Social Security number; signature; and physical description such as height, weight, color of eyes, sex, and even fingerprints and photographs.

Where there is doubt about the spelling of a name, the searcher must be able to scan groups of names in order to select the individual he wants. The usual case files practice is to cross-reference individual names by providing lists similar to the list shown below:

Behr	see also Baer, Baier, Bair, Baire, Bare, Bayer, Beir, Byer
Berch	see also Birch, Burch
Canady	see also Kennedy
Ebel	see also Able, Abel
Eisenberg	see also, Isenberg
Lisle	see also Lyle, Lysle
McCloud	see also McLoud, McLeod
McElroy	see also McIlroy
Mueller	see also Miller
Ray	see also Rea, Wray
Rhine	see also Ryan, Rhein, Ryen
Rogers	see also Rodgers
Sinclair	see also Saint Clair, St. Clair
Smith	see also Schmid, Schmidt
Weinberg	see also Wineberg, Wineburg

The National Archives and Records Service has a staff study, *Phonetic Filing*, which describes the phonetic ("soundex") grouping of similar-sounding names (Johnson, Johnsen, Johnston, Johnstone, Johnstown, Jonston). By means of this system, case files on such individuals can be found even though the requester does not know the correct spelling.

Handwritten Names. In some instances where signatures are used, there are errors due to difficulty in interpreting handwriting. In such instances *n* may be confused with *u*, *r* with *i*, *b* or *h* with *li*, *e* with *i*, *a* with *o*, and so on. The possibility of such errors should be considered if finding difficulties occur.

Corporate Names. Firm names and other corporate names are best treated as *personal surnames*. As surnames they would be filed ignoring articles, conjunctions, and ampersands, thus:

Backus, J. C. & Company
Belton, Donald F. & William D. Company
Best, William
Best's Beauty Salon
Bevans and Beverly Service Co.
Beyer, John
Beyer Real Estate
Bill's Barber Shop
Bit of Honey Shoppe
C & C Auto Service
Commission on Waterways

Individual or Organization Names. Recordkeepers will be tempted to file by the names of persons signing letters rather than by the names of organizations with which they are connected. They should consistently file by organization names and titles. If they are not consistent in this practice, papers from the same organizational unit may be in widely scattered folders within the file. Organizations change less than the names of individuals representing them. It is the organizational commitment which counts.

Alphabetic Distribution of Names. Recordkeepers should know in advance how much of a file arranged alphabetically by names of people will fit under each letter of the alphabet. For this, Appendix C has been provided. It is based on national averages of the incidence of people's names. It reflects in varying numbers of breakdowns of the alphabet, up to 200, the typical distribution of people's names under each of the letters of the alphabet.

For example, in a normally distributed file arranged by names of people, about half of the guides and folders will be under these six letters of the alphabet—"S," "B," "M," "H," "C," and "W." Offices needing finer alphabetic breakdowns than are included in Appendix C—such as 750, 1,500, or even 5,000 captions—should write to the National Archives and Records Service in Washington.

The Social Security Administration publishes a list of the most common names in the United States. The names are listed in alphabetic sequence, and also by frequency of occurrence in the Social Security files.

Filing by Number

People recognize, recall, and follow file sequences more easily when numbers or symbols are used. One reason for this is that numbers or symbols are so much shorter than word designations.

Operational (identification) symbols, such as requisition numbers and project symbols, often best identify particular work. The more commonly they are used in speaking or writing about the work, the more promising they become as file designations for case files. They are then more likely to be what persons will already know when the records are needed and more likely to be shown on records received for filing.

The four most used numeric systems are: (1) serial numeric, (2) duplex-numeric, (3) terminal digit, and (4) numeric coding.

Serial Numeric. Practically all officeworkers are familiar with consecutive or straight numeric filing, in which the material is arranged in strict sequence 1, 2, 3, 4, 5, 6, on up. Numbers are assigned to records as the records are created. The newest records have the highest numbers and are always placed at the open end of the system. Figure 25 shows case folders arranged in serial-numeric sequence, a method generally used when less than 10,000 papers a year are filed in this fashion.

Duplex-Numeric. A duplex number consists of two or more parts, separated by a dash, space, or a comma. *For example:* 611–201; 096 10 2594; 1401–02; 100, 200, 300. Here the case papers are arranged in straight numeric sequence by the first part of the number, and thereunder by succeeding parts of the number. For example, papers numbered 36–1–1, 1–100–2, and 30–99–60 would be arranged in the following sequence: 1–100–2, 30–99–60, and 36–1–1.

Terminal Digit. Normally, under this method, case files are arranged first of all by the final two digits, then by the second two digits (reading from the right), and finally by the third two digits (reading from the right). These two-digit groups are known as the primary, secondary, and tertiary groups. This arrangement accommodates a million items.

As a general rule, the number of digits used in the primary, secondary, and tertiary groups are determined by the potential range of the series of numbers the system is designed to accommodate. For example, if the range is great enough, three digits may be used. As with consecutive numeric filing, there is usually some form of alphabetic key to the numerically sequenced material. Figure 25 also shows case folders arranged in terminal digit sequence.

Numeric Coding. Substituting numeric or alpha-numeric code symbols for lengthy file designations otherwise expressed as words is done largely in connection with subject files. A discussion of this special type of file sequencing is found on page 33.

Case Labeling

Complete information is needed on each uniformly prepared case folder label. Normally the label should show both the identifying case number or symbol and the full name of the individual or organization involved. Often for complete identification, labels show the city and State in which the person or organization is located. Good case folder labels should be uniformly prepared, easy to read, precise, and complete. When an index card is required for each newly established case folder, carbon interleaved specialty forms are helpful. With them, both the folder label and the index card can be prepared at one typing. An example of such a specialty form is given in figure 26.

Papers. Letters, to be identified as case papers, should bear the case identification (label) number or symbol on their face. This may appear at the top of letters in the "in reply refer to" line or under the identification of the office, writer, and typist at the bottom of file copies of outgoing correspondence. Form designers should always allow on forms a "filing space" for the case number or name.

Guides. Guide card labels for case files, visibly reflecting the name or number sequence, can be relatively simple. In normally active files, if the case folders are alphabetically arranged by names, usually only enough guide card labels will be needed to provide one guide signpost (showing alphabetic letters) for about 10 case folders. In larger case name files, there may be as many as 10 or more folders under such common names as "Smith," "Jones," or "Brown." Guide tabs may also be needed as signposts for the folders filed under each of these common names.

For numbered case files, recordkeepers normally need guide card labels to reflect numeric breakdowns of the file at regular

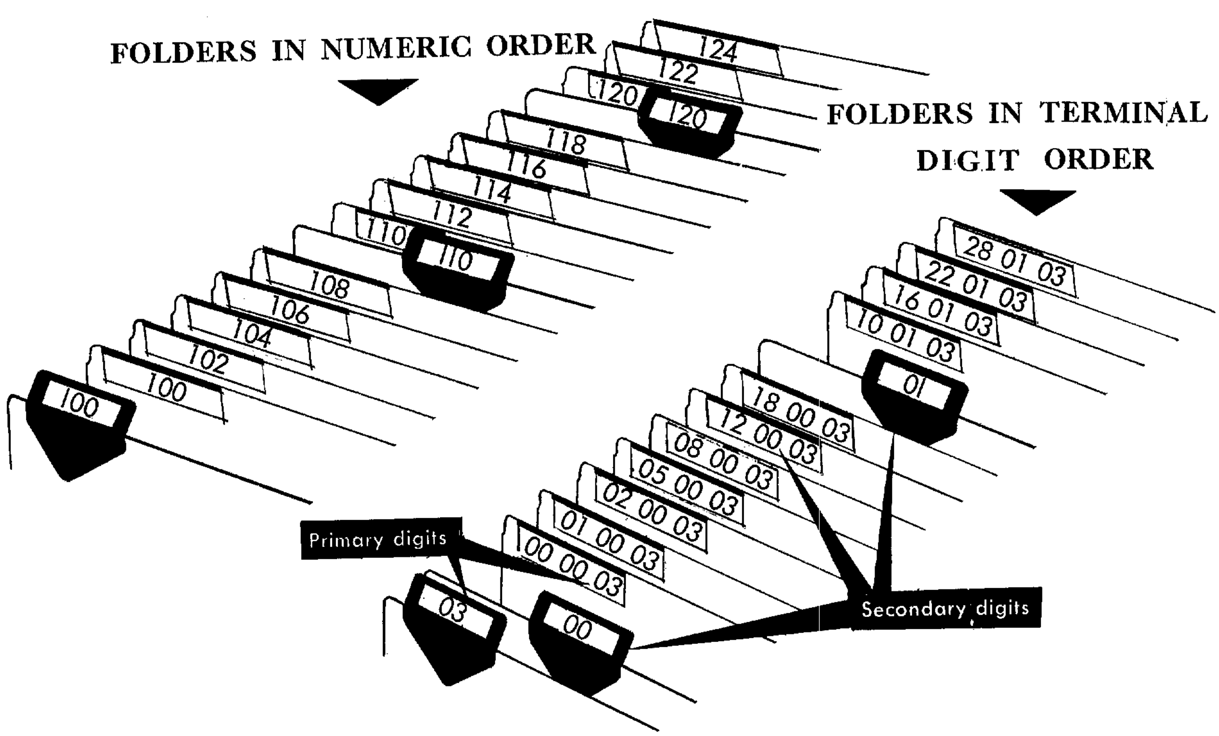
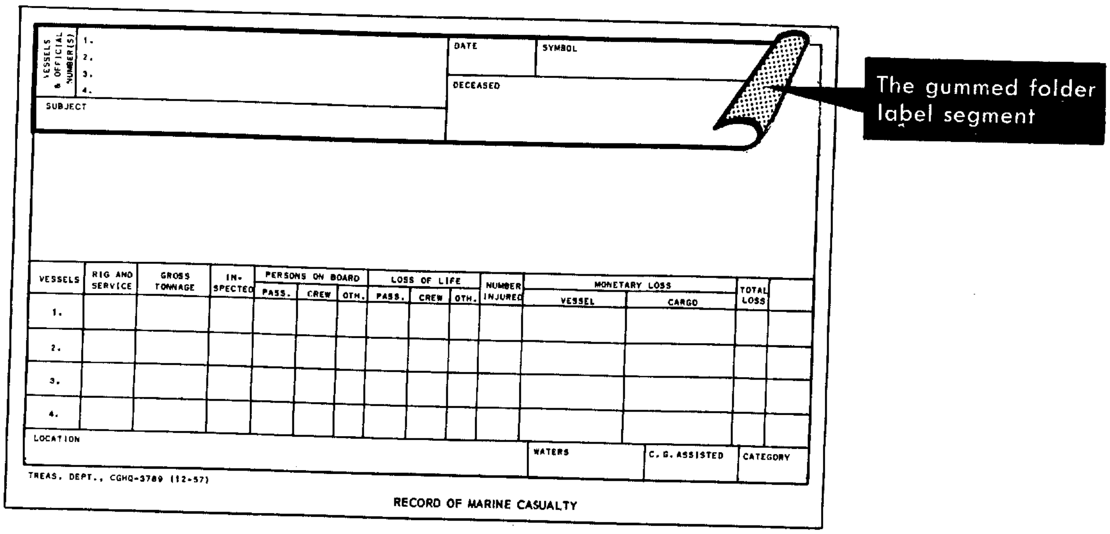


Figure 25

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

COMBINATION INDEX FORM AND GUMMED FOLDER LABEL


VESSELS & OFFICIAL NUMBER(S) 1. 2. 3. 4.
DATE
SYMBOL
DECEASED
SUBJECT

VESSELS	RIG AND SERVICE	GROSS TONNAGE	IN-SPECTED	PERSONS ON BOARD PASS.	CREW	OTH.	LOSS OF LIFE PASS.	CREW	OTH.	NUMBER INJURED	MONETARY LOSS VESSEL	CARGO	TOTAL LOSS
1.													
2.													
3.													
4.													

LOCATION
WATERS
C. G. ASSISTED
CATEGORY
TREAS. DEPT., CGHQ-3789 (12-57)
RECORD OF MARINE CASUALTY

Figure 26

intervals, the 10's for example. Particularly for serially numbered case folders, even fewer guide cards may be needed than for alphabetically arranged folders. Figure 14, page 18, gives examples of case file guide card labels.

Subdividing the Case File

In most instances, papers in individual case folders are arranged in date sequence, with the latest material placed on top. Normally if a folder becomes too full (more than 75 to 100 papers), a new folder should be established. The tab of the closed folder should show the beginning and ending dates of the materials in it. The new folder tab should show the beginning date of material, and the new folder should be placed in the file in front of the old folder.

If more than two folders are required to keep the papers easily findable in a single case history, it is advisable to break down the case by subject topics. Figure 27 illustrates possible subject breakdowns for a research project concerned with tomatoes. Usually, offices adopt the same subject topics for all cases within the file that are sufficiently voluminous to require subdividing by subjects.

FOLDERS ARRANGED IN SUBJECT ORDER FOR VOLUMINOUS PROJECT FILE

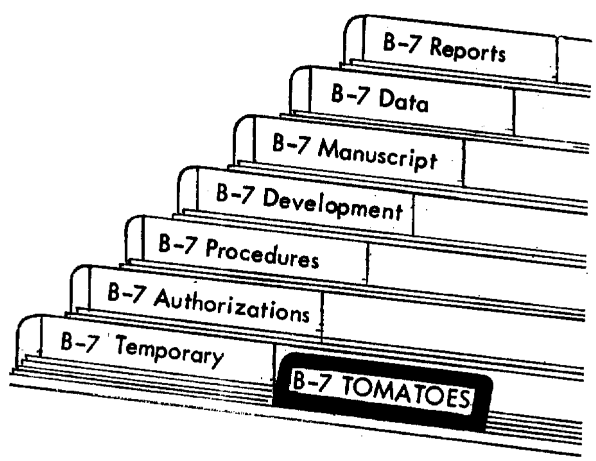


Figure 27

VII. STANDARDIZING EQUIPMENT AND SUPPLIES

What are the standard equipment and supplies to be found in the Stores Stock Catalog?
Why use letter size equipment and supplies wherever possible?
When do we use shelf filing?
What are the recommended standard guide cards, folders, and folder labels for most files?
What are guide cards for?
How do we use guide tab positions?
How do we caption labels?
Do colored labels help distinguish files?

The Federal Supply Service of the General Services Administration publishes a Stores Stock Catalog listing available files items. These have been designed, tested by experience, and standardized to meet the needs of the Government. Usually agencies select their filing equipment and supplies from this catalog, although they may have issued supplementary instructions which their files personnel need to know.

Government filing equipment and supplies are standardized to suit the papers most offices file. As most papers are less than 8⅞ inches wide, but of varied length, Government filing items are principally two sizes, letter and legal. Figure 28 shows the generally accepted dimensions of these sizes. Shelf files use folders ⅛ inch shorter than those designed for filing cabinets.

STANDARD GOVERNMENT PAPER AND FOLDER SIZES

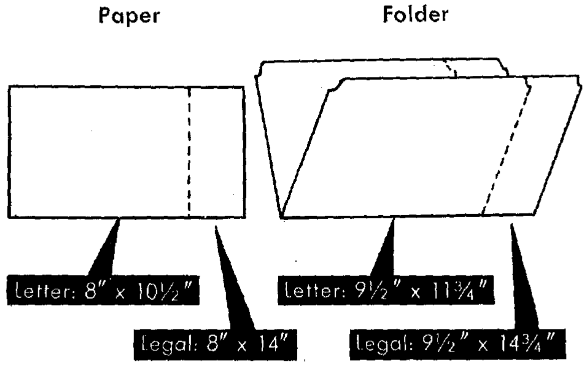


Figure 28

Select Letter-Size Equipment and Supplies

Letter-size equipment and supplies are 5 to 10 percent less expensive than legal size; hence offices can seldom justify using legal size. In addition, legal-size filing equipment requires 20 percent more floorspace, and space may be an expense factor. Records managers throughout the Government are trying to get legal-size paper reduced to letter size. Until they succeed, files operators should fold legal documents to letter size before filing. Folding papers can be expensive, however. If 20 percent or more of the papers to be filed are legal size, it is less expensive to use legal-size equipment and supplies.

Standard Vertical Filing Cabinets

To house records and make them readily accessible, the following general-purpose letter-size filing cabinet listed by the Stores Stock Catalog is recommended:

For Correspondence:
Gray-finish steel upright filing cabinet.
Five-drawer unit, letter size, without lock.
Stock No. 7110–286–3799.

At the present time this letter-size cabinet costs about $50 delivered. Plungers or keylocks are available at extra cost, but they do not meet document security requirements and are not considered tamperproof.

Most offices still using the old four-drawer cabinet will want to plan for the new standard five-drawer cabinet. It has 25 percent greater filing space, but since it is 5½ inches higher, its top is less accessible as workspace. It has no guide rod channels in the file drawers; so to convert old guide cards, the rod projections at the bottom must be cut off. Part of the greater filing space comes from deeper file drawers, providing 2¼ inches more filing space (26¼ inches inside clear dimensions). If four-drawer cabinets, placed back to back with a 36-inch aisle, were replaced by the new style, the aisle would be reduced by about 4 inches.

Hints in Using Filing Cabinets

- Offices are expected not to procure additional filing cabinets as long as there are inactive records in the office. If inactive records are disposed of or transferred to records centers, more cabinets may not be needed.
- Files should not be shifted without changing drawer labels.
- Most offices use the middle cabinet drawers for the most active material, saving the bottom or top drawers for less active files not yet removable from the office. Older cabinets, which do not work as well as new cabinets, may also be used for less active files.
- If more than one drawer at the top is opened at a time, the cabinet can tip over. Safety requires all drawers to be closed when the user has finished.
- Cabinet drawers should not be wasted on large stocks of blank forms, office supplies, or office publications. If more than a half a cabinet is required, it is usually more economical to house the material in transfer drawers, supply cabinets, or shelving.
- Recordkeepers need to know how many file drawers the office will fill each year. They should reserve adequate growth space to last until file cutoff or disposition time. Shifting files is hard work that can generally be obviated by planning. To compute the space, records officers allow 1 drawer for each 4,000 sheets of active records or 1 for each 5,000 sheets of inactive records.

Standard Shelf Files

The standard shelf file, shown in figure 29, saves space and equipment money when certain files maintenance conditions exist. A shelf file saves space by storing in the same floorspace about 20 percent more records than a filing cabinet can store. Although a standard shelf file will cost more than a standard filing cabinet because transportation charges are added to the price, a shelf file will house about twice as many records as will a filing cabinet. How shelf files do this is explained in a pamphlet, *Standard Shelf Files*, published by General Services Administration, Washington, D.C., in January 1961.

Shelf files also save personnel time in those file operations where more time is spent on finding than interfiling. Recordkeepers place papers into folders (interfiling), and they extract papers from the folders or remove the entire folder from the file (finding). The time spent on this work can be computed, at least during a test period. Studies show that finding is faster from shelves than cabinets, so that if the finding total is greater than the interfiling figure, then shelf files will save staff time. If shelf files do not save time, however, they are not likely to be a good investment unless the space involved is office space costing the Government over $3 a square foot.

Although assigned a Federal stock number, standard shelf files are not presently included in the Stores Stock Catalog. As of the publication date of this handbook, standard shelf file units are obtainable from specified manufacturing companies who have entered into an annual contract with the Government to furnish them in accordance with procurement regulations. The following is a brief description of the standard letter-size unit.

Cabinet, 7 shelf, letter size, no posting shelf, set up. Stock No. 7110–817–0665. (Cost—about $50, f.o.b., point of manufacture.)

Successful shelf filing usually requires special-type guide cards, folders, and chargeout cards with tabs on the side rather than on the top. These, however, are available from the Stores Stock Catalog. The cost of guides (about 12 cents apiece) and of folders (about 3 cents apiece) must be figured into any estimate to determine the feasibility of shelf filing.

STANDARD SHELF FILE AND SUPPLIES

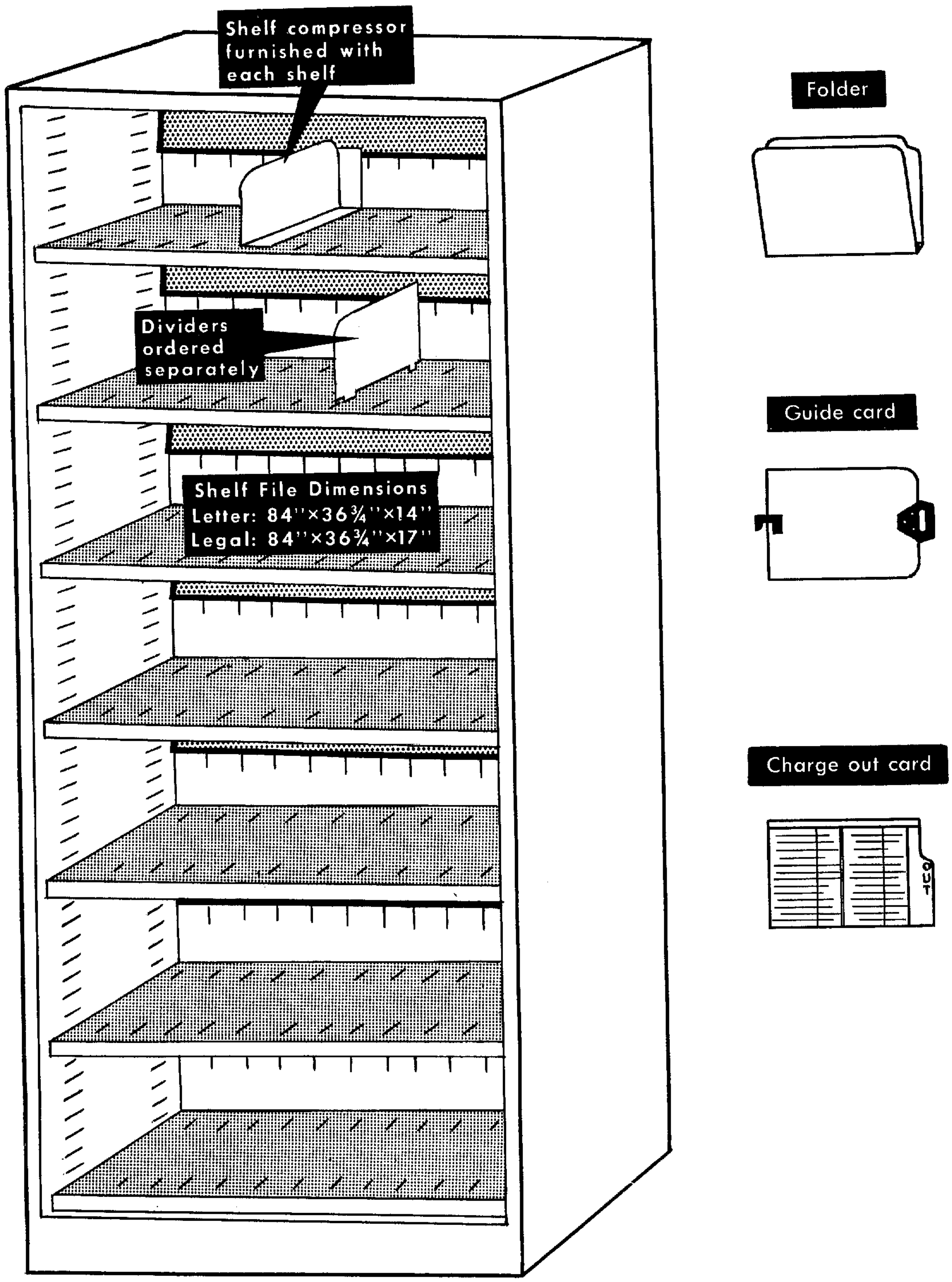


Figure 29

Special Use Equipment

The Stores Stock Catalog lists a variety of vertical file housing equipment for 3- by 5- or 5- by 8-inch cards, ranging from a 1-drawer cabinet to a cabinet with 10 double drawers; it also lists various types of guides for card records. For oversize maps, drawings, or tabular records, it lists a 5-drawer special filing cabinet in which each drawer is 41 7/16 by 53 3/4 inches. Many other sizes and types of oversize file housing are available commercially.

Some extremely active records are best housed in visible card equipment, rotary card equipment, mobile filing drawers, and other special devices. These are not available from Federal Supply, but must be purchased according to agency regulations. In any event, equipment of this kind should not be purchased until its probable use has been reviewed by the agency records management officer.

Supplies for Files Arrangement

An efficient files system needs to make the logical framework so visually clear that, at a glance, the organization of the files is obvious. This goal requires full use of guide cards, folders, drawer labels, shelf labels, folder labels, or colored labels. Figure 30 shows how labels direct a recordkeeper to the desired paper.

LABELS AS FINDING AIDS

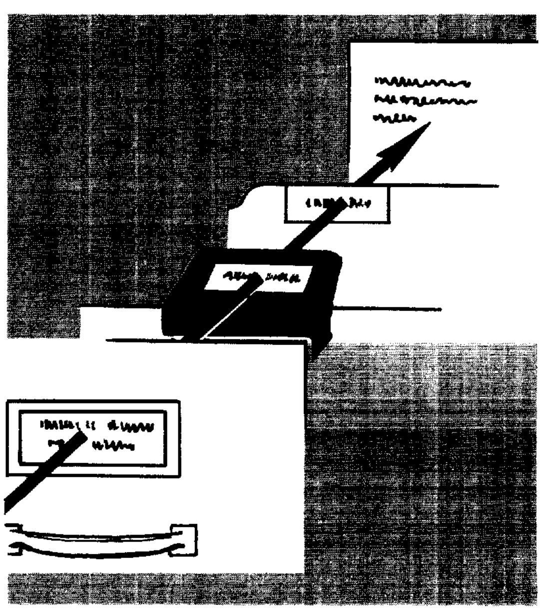


Figure 30

Guide Cards as Signposts and Supports

Standard guide cards are primarily "signposts." They have a protruding metal tab with a "window" which is angled to make the inserted label caption clearly visible. This angle makes each guide card far more visible than the square-cut self-tab of the standard general-purpose folder.

Standard guide cards are available with the tabs either in three different positions (third-cut guides), or in five different positions (fifth-cut guides). Figure 31 illustrates the features of standard third-cut guides. Normally, third-cut guide tabs are used for long captions composed of words, and fifth-cut tabs for short captions composed of letters or numbers.

STANDARD THIRD-CUT GUIDE TABS

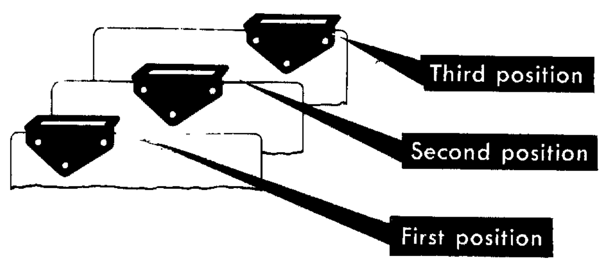


Figure 31

Guides reduce the area of search. An analysis of figure 32 will show why. A filled file drawer is not likely to contain fewer than 40 folders. Without guides, the eye must rove through the entire lot. With a minimum of four to six evenly distributed guides in the drawer, less looking is needed.

Guide cards are also supports. They help the folders stand erect in a file. This is because of their stiffness, in turn dependent upon their thickness. Four to six standard pressboard guides evenly distributed within a file drawer will help to keep folder labels visible by preventing the bottom of one folder from slipping underneath another. Figure 33 depicts the need for support given by guides.

GUIDES REDUCE AREA OF SEARCH

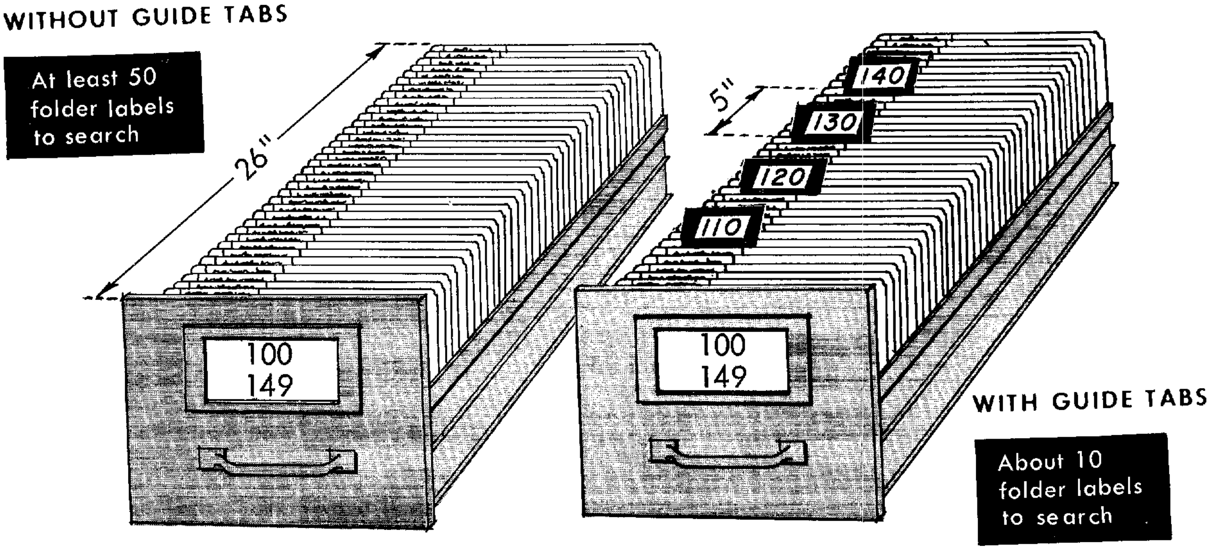


Figure 32

Guide Tab Positions To Show Subordination

Guide tabs can graphically display the relationship of subdivisions to the larger headings of a system for arranging files. Since there is a choice of three or five different positions of the tab, particular tab positions can be consistently used to show the relationship of the broad to the more specific breakdowns of a files arrangement.

For example, in a subject file, first position guide tabs can show the primary or broadest topic headings, second position tabs the first level of subtopics, and third position tabs the further breakdown of subtopics. Different guide tab positions can also be used to show subordinate levels within geographically arranged files. See figure 34.

A less satisfactory alternative is to place the folder labels in different positions across the folder tab. In this method, the guides might be limited to selected primary topics only. The folder label method is less expensive, but does not provide as visible signposts as guide cards do.

Hints on Using Guides

- A guide card for every two or three folders is wasteful. Highly active files may properly have an average of six folders to a guide. Normally active files would have more folders to a guide, perhaps 10, depending on the complexity of arrangement.
- Guides for inactive cutoff files are not needed if folder labels are complete. One complete set for active files is enough.
- Recommended guide cards are purchased from the Federal Supply Service in quantities of 100. All 100 guides in a box have the same tab position, the same cut (third or fifth), and the

GUIDES REDUCE FOLDER SAG

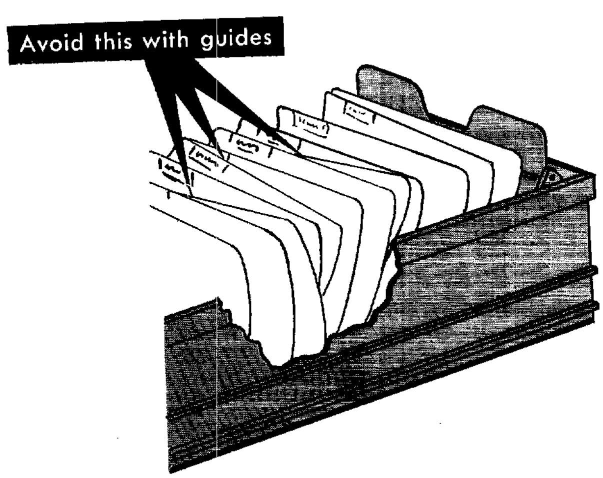


Figure 33

same size (letter or legal). Fifth-cut letter-size guides cost about 5 cents a piece, while third-cut letter-size guides cost about 6 cents a piece.

Recommended File Folders

An open binder for housing papers, known as a folder, has been used for filing since early in this century. From the wide variety of folder styles listed in the Stores Stock Catalog, four types are recommended. Figure 35 gives the basic features of each of these four.

The general-purpose kraft folder is designed to meet the normal records requirements of most offices. The need for one of the other three types would be less common. For example, for records with a retention period of less than 5 years or for infrequently used records, the inexpensive lightweight manila folder is often preferred. For offices needing folders that can be heavily loaded and receive abnormally rough or extensive use for a period longer than 5 years, there are two heavyweight folders to choose from. Of these two, the pressboard type is more rugged and holds more records than the kraft type, but is approximately twice as expensive. Both have built-in fasteners since records getting such hard use need to be fastened.

Hints on Using File Folders

- Double-thickness reinforced standard folder tabs lengthen folder life. They require separate folder labels unless the recordkeeper handwrites directly on the tabs, since the thick tabs will not fit under the roller of a standard typewriter for direct typing. Recordkeepers wanting to type directly on the tab should use the 9.5-point manila folder with a non-reinforced tab.
- Normally it costs more in labor than it is worth to salvage inexpensive standard folders when disposing of papers kept for several years. Removal of fastened papers is especially time consuming.
- To "overfolderize" is wasteful because the folders will have too few papers in them. In a subject file, overfolderizing is avoided by checking the folders at file

GUIDE TAB POSITIONS SHOW LEVELS OF SUBORDINATION

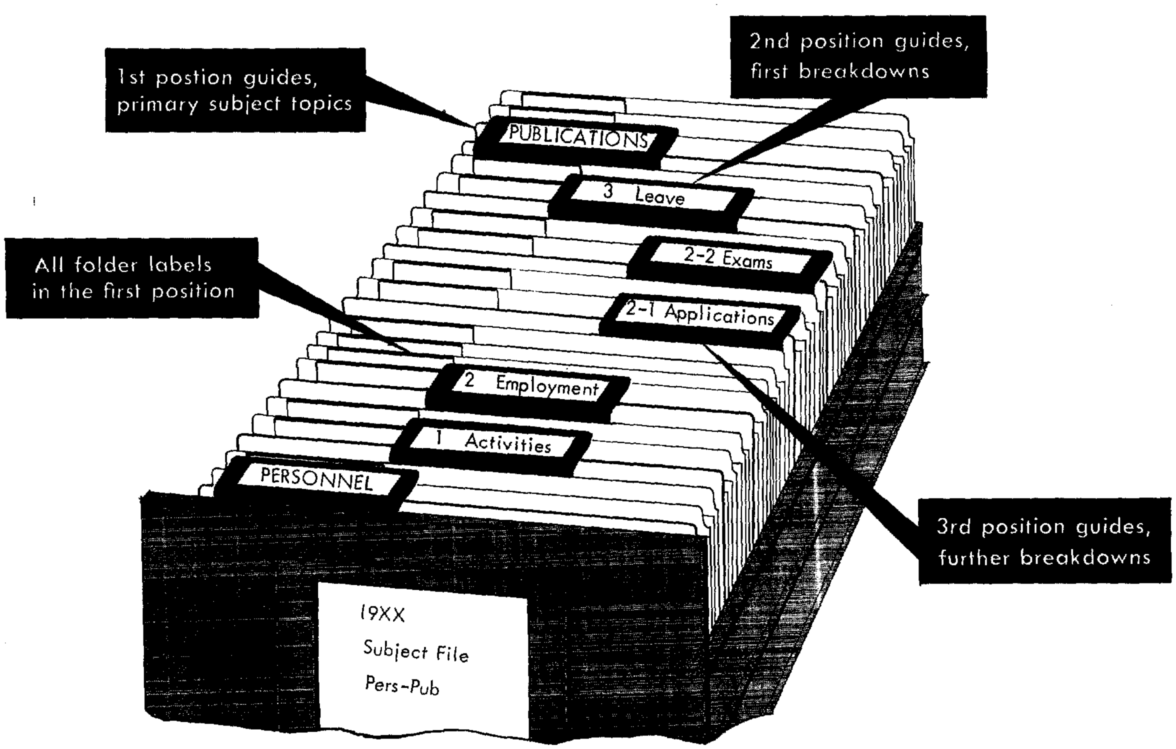


Figure 34

RECOMMENDED FOLDERS FOR DRAWER FILES

Type (100 to a box)	Thickness in points [1]	Tab
GENERAL PURPOSE		
Kraft (147 pounds) — Stock No., letter size: 7530–634–4917. Cost: about $1.40 per hundred.[2]	11	Square cut, with third-cut score marks. Reinforced, double thickness extending the full length of the tab.
SPECIAL USE		
Lightweight Manila — Letter size, about $1.00 per box—least expensive available.	9.5	Nonreinforced, square cut.
Heavyweight Kraft	18	Nonreinforced, square cut.
Heavyweight Pressboard	25	Angular metal, third cut only. With blank, white, perforated inserts and cellulose acetate window protectors. All 100 folders have the same position. When ordering, specify position desired.

[1] One point is one thousandth of an inch.
[2] Prices for catalog items are quoted from the September 1963 "Stores Stock Catalog."

Figure 35

disposal time, and *not* preparing new folders for little used topics. In a numerically arranged case file with only a few forms for each case, a folder is not needed for each case. Offices place up to 75 items in 1 folder to meet this situation.

- A few special types of papers may *not* require file folders for housing. In a technical reference file, many of the publications can be kept directly between guides. In some offices, reference materials are housed in red fiber filing jackets, without flap and with up to 3½-inch expansion. These filing jackets are listed in the Stores Stock Catalog.

Labels

While guide card labels are the principal file signposts, drawer labels and folder labels also help to find or file faster in the right folders. Drawer labels narrow the search to one drawer, guide labels to several folders, and folder labels to the contents of one folder.

To make the organization of files visually clear, offices depend upon accurate and complete label captions to identify the contents. The more complex the system of guides, tabs, and placement of folders, the more carefully the wording of the labels must be planned.

Labels should be in large type—executive if possible. Neatly handwritten or printed letters, numbers, or symbols are acceptable; but the small space available often makes handwritten words illegible. Colored drawer labels (card stock) will help identify separate files, and different-colored standard folder labels also can identify separate files or different kinds of papers within a particular file. Commercial companies offer various colored guide window protectors to aid in distinguishing type of files.

Drawer Labels. Usually the first label read is a drawer label. To guide the user properly, it should normally show: (1) the file title, (2) the years covered (especially if files are broken periodically), or a distinction between active and inactive files, (3) the kind of filing arrangement the file follows, and (4) the segment of the particular file included in that drawer.

Guide Labels. The second label usually needed is the guide label. It should clearly give an idea of the contents of the folders which follow. In many instances this label will be identical to the label on the first folder which follows the guide. For example, in an alphabetical arrangement, a guide card for "AG" would be followed by a folder marked "AG," though the next folder might be "AL," and so on. Because often as many as 10 folders are behind one guide, the record user must glance at the following guide card to know the span of folders covered by the first guide. In a subject file, the guide card should show the file code symbol, if there is one, as well as the topic.

Folder Labels. In a sense, the entire files system is planned to bring the user speedily to one folder. If the label of that folder does not completely and exactly identify the contents, however, even the best files system falters. A good folder label should reflect in no more than three typewritten lines: (1) the specific name, letter, geographic location, topic, number, or symbol identifying the contents of that folder; and (2) the place in the files arrangement of that folder in relation to the guide cards and to the other file folders. For the particular purposes of an office, occasionally the user may need such further identifying information as: abbreviations identifying a particular separate file; names, titles, or topics which a particular symbol may stand for; disposition instructions; and inclusive dates of materials if the folder gets too full and must be split.

Recommended Folder Labels

Two different styles of folder labels are recommended, a general-purpose, self-adhering label, and an oversize label. Self-adhering (pressure sensitive) labels do not require moistening. The general-purpose, self-adhering label is intended for captions comprising three or less typewritten lines. The gummed oversize label is for captions of more than three typewritten lines such as lengthy project or publication titles, or for captions which include files disposition or other instructions. Figure 36 illustrates the features of these two labels.

RECOMMENDED FOLDER LABELS

General Purpose	
SIZE	3½ x ½ inch. Three typewritten lines fit on labels.
QUANTITY	248 to a box—8 labels to a sheet, 31 sheets to a box.
COLORS	Available in plain white, or with 7 different color identification strips, $\frac{3}{32}$ inch wide. When ordering, note different stock number for each color.
COST	About 25 cents a box.
METHOD OF APPLYING.	Self-adhering. After typing, peel each label off backing sheet and apply directly to front of folder tab.
Special Long Caption	
SIZE	3¾ x 1⅛ inch. Four typewritten lines will fit on labels, leaving room for label foldover—more lines if label is not folded over.
QUANTITY	500 labels to a box in a continuous perforated fanfold strip.
COLORS	Available in plain white, or in buff, pink, blue, or green. When ordering, note different stock number for each color.
COST	About 15 cents a box.
METHOD OF APPLYING.	Moisten back. Usually fold a segment of the label over the folder tab.

Figure 36

VIII. MAINTAINING THE FILES

How often should we file?
How do we assemble directly related papers?
How do we choose the proper file designation for each paper?
When do we cross-reference papers?
How can we use extra copies as indexes or cross-references?
How can we sort papers for faster filing?
What filing aids are available to help us put away papers faster and more accurately?
How can we keep files neat and usable?
How can we keep control of papers which leave our files?
How should we lay out our records equipment?
What is the cost of misfiling?

In one office, people will look at an index, try one file, find a cross-reference, drift from drawer to drawer, fumble from folder to folder, peer into paper after paper. In another office they go straight to the right paper in the right folder in the right drawer in the right filing cabinet. The second office has learned its files maintenance lessons.

Filing Daily

Too many people let materials go unfiled too long. They let papers accumulate on desks, on tops of tables or cabinets, in boxes, or in drawers. They finally take action when the clutter grows unsightly.

Papers ought to be put away daily. The operating routine is to (1) check and sort, (2) mark the file designation, (3) index or cross-reference as necessary, and (4) file.

Daily filing is better than weekly or other periodic filing chiefly because the papers most frequently asked for are those most recently received. Seeking them in a large stack of miscellaneous unfiled papers is slow and tedious work.

Checking and Sorting

The first step in daily filing is quickly separating all papers into groups: those to be filed in the office forthwith, those to be discarded, and those to be acted on as required. If the amount of papers warrants, those separated for filing in the office may be sorted into as many stacks as there are separate basic file types. These were described in chapter III.

Those papers "not to be filed" are most likely to include: (1) papers which agency rules direct to be sent to another location for filing; (2) papers to be circulated in the office prior to filing; (3) papers authorized to be destroyed; (4) papers concerning incomplete actions which require suspense or followup control, or incomplete papers for which someone must attempt to collect the missing papers or data; (5) personal papers mistakenly placed in the "file" basket; and (6) papers presumed to be filed but which lack a mark authorizing filing.

File Authority. With respect to (6) above the well-managed office does not file papers until the proper official has, in effect, "certified" the need for filing. This authorization may be his initials, a checking symbol (✓), or the word "file." Documents not bearing such authorization, plus any others which the recordkeeper is not sure are ready for filing, should be returned to the principal involved.

File authority is *not* required on documents that obviously are ready for filing as soon as they are prepared. Examples of these documents are the suspense copy of a mail control form, a memorandum for record prepared for file only, a signed receipt for a classified document loaned or transferred. In addition, file authority may not be required on documents placed in library-type accumulations for reference use, such as reference copies of publications or copies of messages placed in a message reference file. However, before filing a reference publication the recordkeeper should be certain it is definitely needed, as explained in chapter II.

Inspection for Completeness. To assure sufficiency of documentation, the recordkeeper must assemble directly related records. For case-filed records this means filing together the incoming letter, a copy of the reply, and any pertinent attachments or enclosures.

For a transaction involving general correspondence subject files, files personnel (1) remove any earlier correspondence already on file, (2) ascertain if any segments of the current correspondence are lacking, and (3) assemble the complete papers in reverse date order (earliest papers at the bottom of the pile). This is often called filing "under date of latest action."

If action is complete but essential documentation is missing, an attempt should be made to obtain missing papers or copies of those papers. If the needed papers are not obtained, a notation, "NR" (No Record) is placed on the related file paper.

Normally, a recordkeeper staples the assembled file in one or both upper corners. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers. If there are more than 30 to 35 pieces of general correspondence, a prong fastener may be used. The recordkeeper should not use file backing sheets or covers, however, unless he has a special need to protect papers. All oversize papers should be folded neatly or clipped at the margin, otherwise they can hide a label and thus lose a folder in the file. The recordkeeper should strip from papers to be filed any envelopes, duplicate copies of the same paper, or routing slips not containing record information.

Marking the File Designation (Classification)

The second step in the daily filing, that of determining and marking the file designation, should remind every recordkeeper that classification is the vital key to fast, efficient reference service. Much of this handbook, particularly chapters III, IV, and V, has been concerned with classification problems.

Case Files. The recordkeeper must decide whether to use the case identification, usually already somewhere on the paper, as a file designation or to mark the file designation on papers. If the case numbers or symbols are prominent, he can file by them; if they are not, he can highlight them by underlining or circling. For case files arranged alphabetically, usually the significant words or phrases of the identification are underlined. For some papers, the recordkeeper may have to write a name, title, or location to serve as a file designation. For example, he has a case file arranged by regions and alphabetically by names of persons thereunder, but a paper to be filed shows no region. He should write on the paper the region name or number and underline the last name of the person concerned.

Subject Files. Figure 37 illustrates the steps in determining the proper file designation for the harder-to-file general correspondence records. As earlier indicated, subject files present difficulties because the recordkeeper must study and master the meaning of the subject topics before he can file under them.

Basically the recordkeeper can follow the same steps to select the proper file designation for technical reference materials filed by subject. Since publications have titles to aid in quickly determining what they are about, he should hesitate before filing them under another subject.

Indexing and Cross-Referencing

Some papers either may be called for by more than one filing feature or may concern more than one subject topic or case. Therefore, recordkeepers provide separate indexes or interfiled cross-references to such papers. These finding aids open as many avenues of reference within the files to particular records, as the recordkeeper might expect persons asking for papers to use when identifying such papers.

This "See also" effort can be overdone and much time can be wasted. Recordkeepers should not depend on indexes or cross-references as crutches. Instead they should decide the one most likely way the bulk of the papers will be requested.

Separate Index Files. In choosing the one descriptive filing feature of the papers upon which the filing arrangement of a particular file group was based, the recordkeeper may have recognized that records users may call for papers by a second filing feature. See chapter IV for a description of filing features. The recordkeeper has, for example, established a geographically arranged file but also receives requests for papers by names of organizations concerned. If he has not established a separate index by organizations, he may need to search through the entire geographic file when he knows only an organization name. The time wasted in making such extended searches could easily justify the effort required to install a separate index and to keep it complete and up to date.

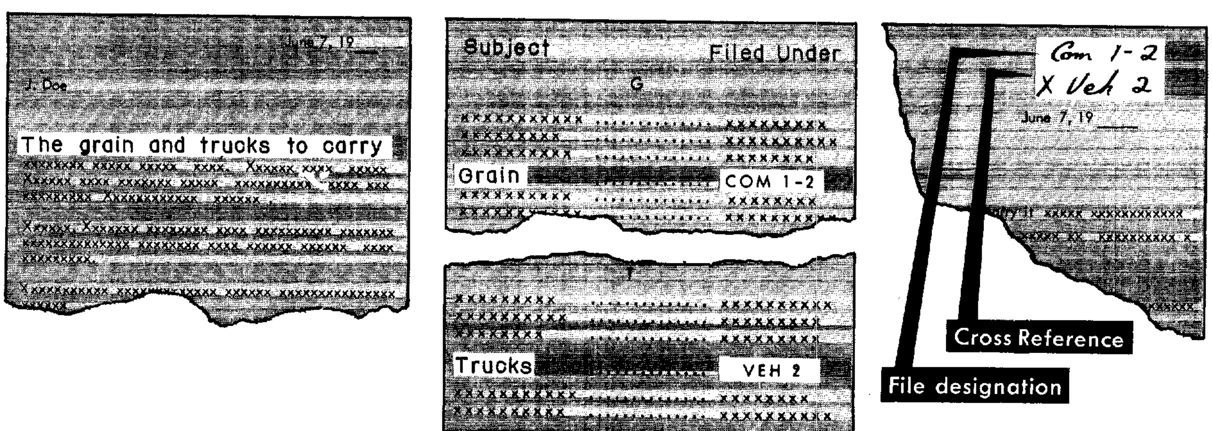
If a separate index reference to a majority of the individual papers placed on file is needed, the answer may be an index comprised of extra copies of documents, supplemented as required by the standard cross-reference forms shown in figure 38. An example would be an alphabetic Name Index to a general correspondence subject file.

Extra copy letter-size indexes have advantages. When extra copies can be used, no time is spent in writing on a cross-reference sheet a summary of the content of the main file document. If the need for extra copies is known in advance, the typist can make additional ones at very little cost. Even a copy from a rapid copy machine may be cheaper than a completed cross-reference form. It follows that the recordkeeper should prepare cross-reference forms only when he cannot readily obtain copies.

An extra copy index is not suitable, however, when a separate source of reference is needed to a complete case folder, rather than to individual papers within a file. Instead, an index on cards, visible strips, or on some other medium is needed. Card indexes are also used for files requiring intensive indexing, such as a technical reference file paralleling a library situation.

Interfiled Cross-References. Even in well-planned files, some papers being classified re-

CLASSIFYING SUBJECT CORRESPONDENCE



Step 1:
Read and analyze the letter to determine subject matter content.

Step 2:
Use the subject outline and the relative index to select exact topics and file codes.

Step 3:
Mark selected topics or codes on the letter.

Figure 37

COMPLETED SAMPLE FORM

CROSS-REFERENCE *(Name, number, or subject under which this form is filed)*		
	➡	FORMS 1-4 *(Illustrates a subject cross-reference topic under which this form is filed)*
IDENTIFICATION OF RECORD	DATE	12-1-XX *(The date of the document also serves as the filing date of this form)*
	TO	J. Smith, Director, El Paso, Tex. *(Organizational titles or location may be needed to identify whom a letter is to or from)*
	FROM	R. Henry, Records Management Officer
	BRIEF SUMMARY OF CONTENTS	Comments on inspectn of recrds mgmt procedures in offices; explains advntgs of & recmds installing OF 21, Cross-Ref form, sample enc. *(Use understandable abbreviations in summarizing the contents of documents, or in indicating organizational titles or locations in the "To" or "From" captions)*
FILED *(Name, number, or subject under which the document itself is filed)*		ORGANIZATION AND METHODS 5-1 *(Illustrates a subject topic under which the record could be filed)*

INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS

Prepare Cross-Reference sheets when (1) a document contains more than one name, number or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.

SINGLE CROSS-REFERENCE—Select first sheet from pad, enter cross-reference caption in open space opposite ➔.

TWO CROSS-REFERENCES—Select first two sheets from pad, enter first caption in open space opposite➔, enter second caption in a shaded space that matches the open space on the second sheet.

THREE CROSS-REFERENCES—Select first three sheets from pad, enter captions in all three spaces provided.

SPECIAL USE OF CROSS-REFERENCE SHEETS

A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.

1. Use the "Cross-Reference" space to enter the subject from which the document was removed.
2. Identify the document as illustrated above.
3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "To" and "From" of the latest letter if it is different from the letter being brought forward.

Optional Form 21

GSA Circular 259

5021-101

CROSS-REFERENCE

Figure 38

quire cross-references for interfiling among the papers of the regular subject or case files, or possibly among the "extra" copy index files. Two common conditions that require interfiling cross-references are:

1. A record may concern more than one subject, case, or name. It might well be called for by any one of its multiple subjects, names, or case identifications. Hence a cross-reference is needed for each way it could be requested.
2. Papers that would normally be filed in separate locations may need to be filed together. Common examples are the filing in the current file of items that were previously housed in a "closed" file, or of security classified papers having a direct relationship to material in unclassified files.

Typically, a well-organized subject file in an office will not require more than one interfiled cross-reference for every 10 papers filed. Central records units may require a higher percentage of cross-references than would be required in individual offices. When the number of cross-reference copies or forms in the files outnumber the items being cross-referenced, either the file classification system needs revision, or the operator needs additional training. Sometimes both situations occur at the same time. When either or both situations develop, it is time to ask the agency records management officer to make a special survey.

As was the case with letter-size separate indexes, interfiled cross-references may also be either special letter-size forms (figure 38) or properly marked extra copies of documents (figure 39).

Standard Cross-Reference Forms. OF Form 21, "Cross-Reference," available from General Services Administration Stores Depots, may be used for preparing either needed letter-size separate index references or interfiled cross-references. The cover sheet of the pad of forms (figure 38) contains a completed sample form and instructions for using the form. This general-purpose form can be used either for cross-referencing a record involving more than one subject, name, or case identification, or for associating related papers in the file. It also

MARKING AN EXTRA COPY AS A CROSS REFERENCE

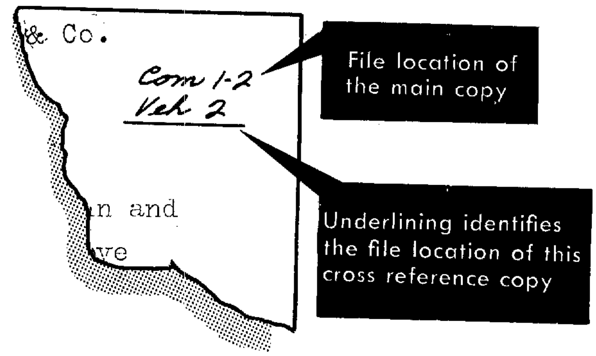


Figure 39

could be used to show that a paper was reclassified and moved in the file. In reclassification actions, the typical practice is to type "Reclassification" at the top of the form.

OF Form 22, "Continuity Reference," also available from Stores Depots, can be used only to indicate that a record has been moved from one place in the file to another, usually in a general correspondence subject file. The form, depicted in figure 40, is often used to indicate that correspondence has been brought forward from a cutoff subject file for attaching to a letter in the current year's file. It is available primarily for those agencies which prescribe a separate cross-reference form for this type of cross-reference.

Permanent Cross-References. This special type of cross-reference is used primarily for change of names. In name case files, it serves in such instances as the renaming of an organization, the merging of two or more organizations each with a case folder, or the changing of a woman's name by marriage. When such a change occurs, the recordkeeper can indicate on the tab of a half folder (the back leaf) the name or identification of the old file designation (under which the half folder is filed), and after the words "Filed Under," the name or identification now serving as the file designation. Figure 41 illustrates this.

A half-folder cross-reference provides a more visible finding aid than a single cross-reference sheet interfiled among the papers of a case.

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (*Under which this form is filed*)	ORGANIZATION AND METHODS 5-1
DATE (*Under which this form is filed*)	12-1-XX Last year. *(…under which letter had been filed)*
TO	J. Smith, Director, El Paso, Tex.
FROM	R. Henry, Records Management Officer
BRIEF SUMMARY OF CONTENTS	Comments on inspectn of records mgmt procedures in office; Discusses installng OF 21 Cross-Ref Form, sample enc.

COMPLETED SAMPLE FORM

BROUGHT FORWARD and filed with the documents described below	
SUBJECT	ORGANIZATION AND METHODS 5-1
DATE	1-6-XX This year *(…r which both latest letter and brought forward letter are now filed)*
TO	P. Jones, Chief, Audit and Inspection
FROM	R. Henry

INSTRUCTIONS FOR USING "CONTINUITY REFERENCE"

Prepare a "Continuity Reference," to:

1. Replace a piece of correspondence which is being moved from one location in a file and is being refiled in a different location under a later date. Examples: (1) Bringing together all correspondence relating to a single transaction—(2) Moving correspondence to the current year's file from a file cutoff as of December 31, last year.

2. Substitute for a record when the subject under which it was originally filed is changed. When the form is so used, it is unnecessary to correct or change any index references to the former subject title.

NOTE: Cross-Reference, Optional Form 21, may also be used for this purpose. See instructions on cover of Optional Form 21 when the Cross-Reference is used as a Continuity Reference.

Optional Form 22

GSA Circular No. 259

CONTINUITY REFERENCE

5022-101

Figure 40

PERMANENT CROSS-REFERENCE FOLDER

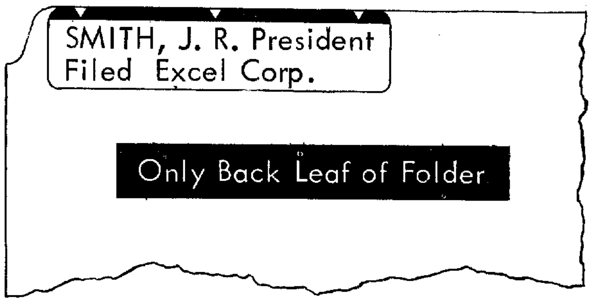


Figure 41

Placing Papers Into Files

All paper clips, pins, and rubberbands should be removed before papers are filed. Torn pages should be repaired by the use of transparent pressure-sensitive tape.

Normally before placing papers into folders, recordkeepers should sequence them to parallel the actual arrangement of the files themselves. In many offices, if filing is done daily, the small amount of papers to be filed will warrant only a rough sort into separate stacks for each separate file group in the office. Usually, table sorting into trays should be sufficient for this low volume. However, should there be enough papers that the recordkeeper needs finer sorting to approximate the sequence of folders within a particular file group, he can use a standard 25-division desk sorter.

Desk-sorting equipment is designed to sort from 100 to 500 papers in one sorting operation. Desk sorters have a series of dividers between which papers are placed in a horizontal position. See figure 42. Sufficient space (⅜ to 1 inch) is provided between each divider for ease in sorting, and the distance between the first and last divider is not so great as to prevent easy reaching. A desk sorter may be improvised by stapling a series of file folders together with about 1 inch of each folder visible for labeling purposes. A desk sorter which holds papers in position is desirable if volume warrants or when the recordkeeper is frequently interrupted by other work.

Documents should be placed in the folder with the latest dated material on top and with the top of the sheet toward the left of the file drawer as the reader faces it, so that all filed documents can be read as a book.

Fastening Papers. A common file standard is "file the papers loose." General correspondence records in a subject file need not be fastened to the folder.

Unless the entire folder is charged out from the file, as case folders often are, and in addition travels about an office, fastening papers to folders with prong fasteners is unnecessary. This practice more than doubles the time required to place papers in the file. If case-filed materials must be fastened, folders with built-in prong fasteners have been found to be easier and quicker to work with than folders without built-in prongs. Many offices do not punch and fasten the material until the folder is charged out.

Match File Designations With Folder Labels. A recordkeeper can reduce troublesome misfiles if he matches the file designation of each paper with the folder label before placing the paper into the folder.

Use Filing Aids To Save Time. Fortunately there are many filing aids to speed records work. The larger the files operation, the more time is saved by using the aids and devices depicted in the double-page spread, prepared as figure 42.

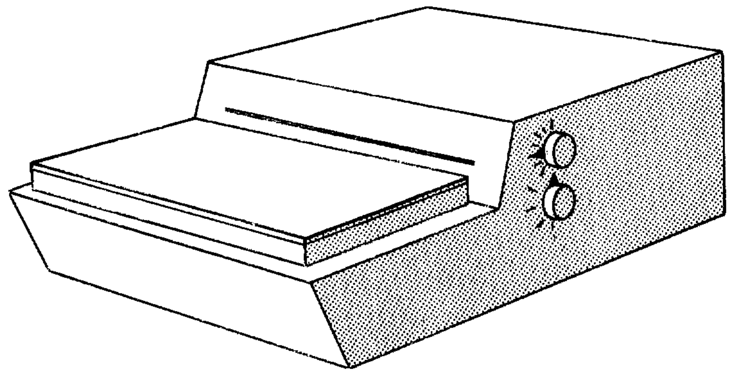
Folder Thickness. The contents of a thick folder should be checked as documents are inserted. The recordkeeper should identify and remove those documents of sufficient volume to require preparation of separate folders for them. Sometimes further subdivision may be required. For example, in a Name Index to a subject file, the contents of a folder should be subdivided and a new folder established when 10 or more papers for the same name are accumulated.

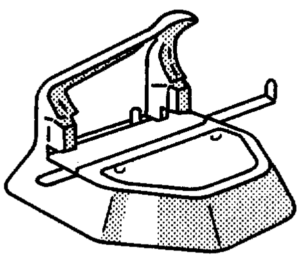
When the contents of any folder reach three-fourths inch in thickness and they cannot be properly subdivided further, the folder should be cut off. The inclusive dates of the contents should be added to the folder caption. An identically captioned folder should be placed in the file immediately in front of the cutoff folder. The new folder should begin at

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

PHOTOCOPY MACHINE FOR QUICK COPYING

Best for rapid reproduction when one or several copies of a file document are needed.



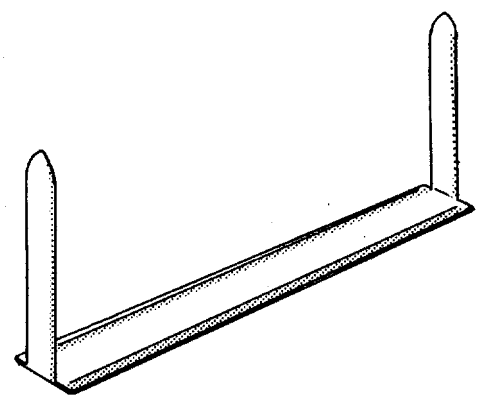


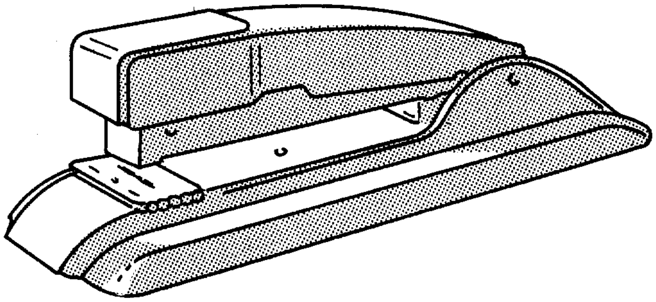
TWO-HOLE PERFORATOR

Best in preparing material for case files. Punches holes accurately spaced for neatly securing papers in files.

METAL PRONG FASTENER

Best where it is essential to secure papers in case files.





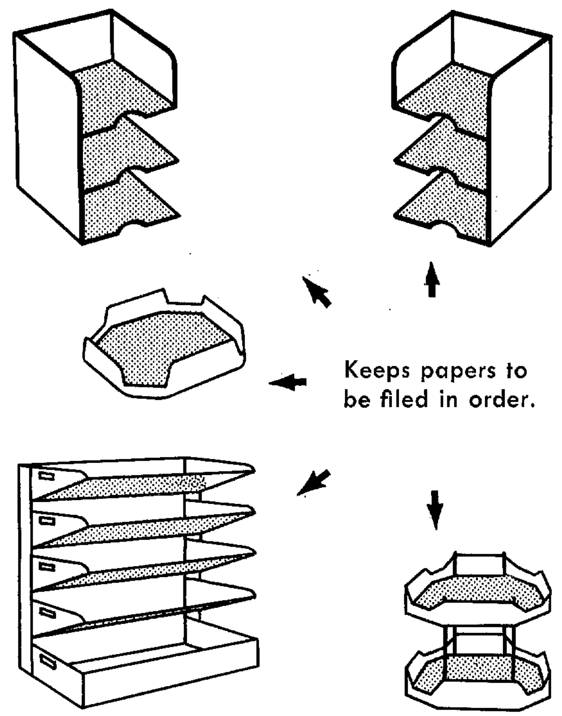
STAPLING MACHINE

Wire staples best for fastening several papers filed loosely in a folder.

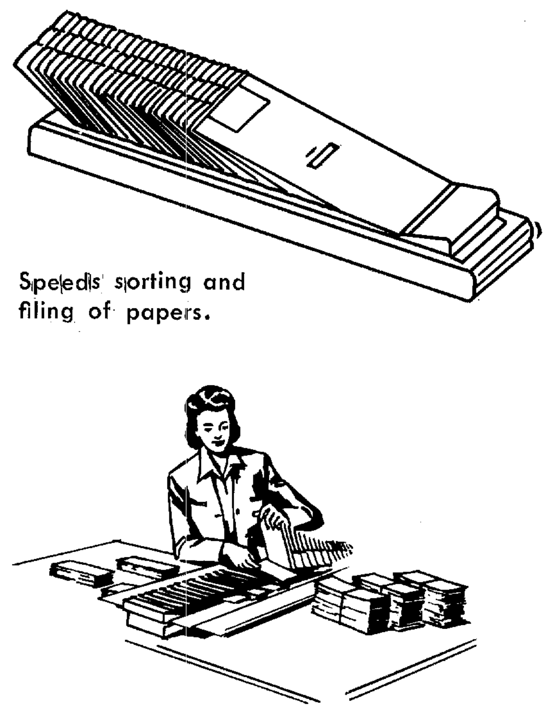
Figure 42

FILING AIDS AND DEVICES

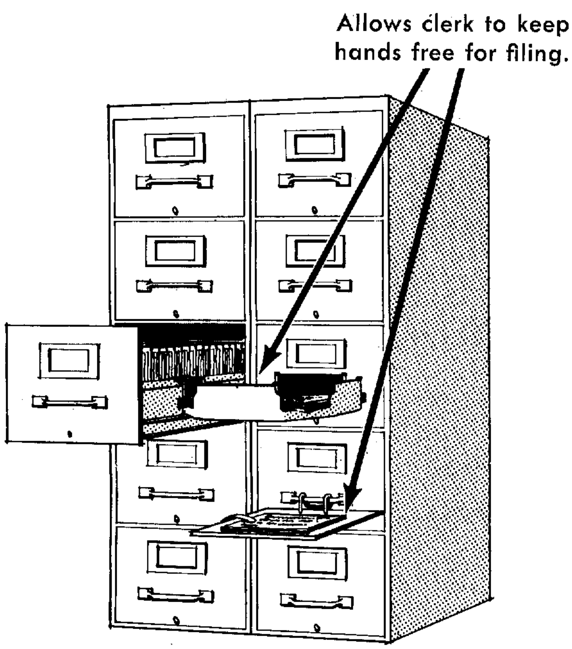
DESK TRAYS



SORTING DEVICES



FILING SHELVES



FILING STOOLS

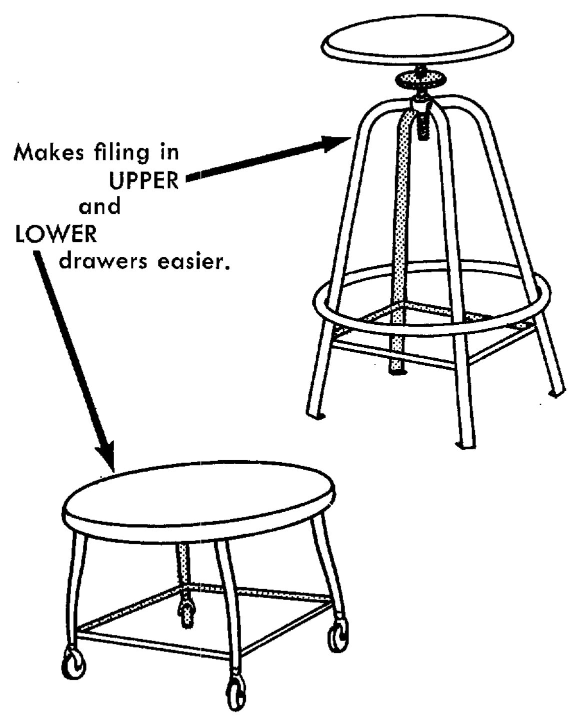


Figure 42—Continued

a logical time such as the beginning of a month or a calendar quarter.

New or additional file folders should be prepared immediately after the need for them is discovered. Figure 43 illustrates the problem of overfull folders.

Keep Folder Labels Visible. Every folder label should be readily visible. When papers rise in the folder to obscure the folder label, the contents should be "tamped down" by gentle shaking. As folders become filled with papers, the recordkeeper should crease the scoring at the bottom of the front folder leaf to cause the papers to rest squarely on the bottom of the file drawer. Then the papers will not rise and cover the folder label. Recordkeepers should not, however, crease the scoring on folders until the increasing volume of papers requires it.

Leave Working Space in Drawers. About 4 inches of working space are needed in each file drawer of active records to permit papers to remain loose within folders. Time and motion studies show that it takes twice as long to insert papers into folders if the drawers are jammed to capacity with papers.

Folders and guides should be handled by their bodies and not by their tabs. The tabs are intended to be a means of identifying contents and are not handles for the movement of guides and folders.

Likewise, the guides in the rear of the file drawer should not be pulled forward to straighten the contents of the drawer. If the drawer contents must be straightened, the bottoms of the folders should be moved forward. Properly positioning the drawer compressor also helps keep folders upright in the drawer.

Filing Clippings. Clippings should be interfiled with related materials under the same classification. All clippings filed should bear a notation as to the newspaper or magazine and the date of the issue from which they were taken. Clippings of less than 8 x 10½ inches should be mounted on regular bond paper and filed in the same manner as other documents. Clippings larger than 8 x 10½ inches should be filed loose in the folder and folded, as needed, to fit the folder neatly.

Filing Security Classified Papers. Security classified papers should be filed in separate file containers, apart from unclassified papers or papers marked "For Official Use Only." Most agency security regulations permit filing unclassified material with classified, however, when they are needed together for reference purposes. The interfiling of unclassified and classified papers is restricted to those papers which directly support, explain, or document the record of the action or transaction.

Filing Bulky Material. Bulky material should be filed separately in storage equipment suited to its size. This material can be maintained in file classification, date, or serial number order. A cross-reference to the bulky material should be prepared and filed with the file papers or a notation of the bulky material

AVOIDING OVERLOADED FILE FOLDERS

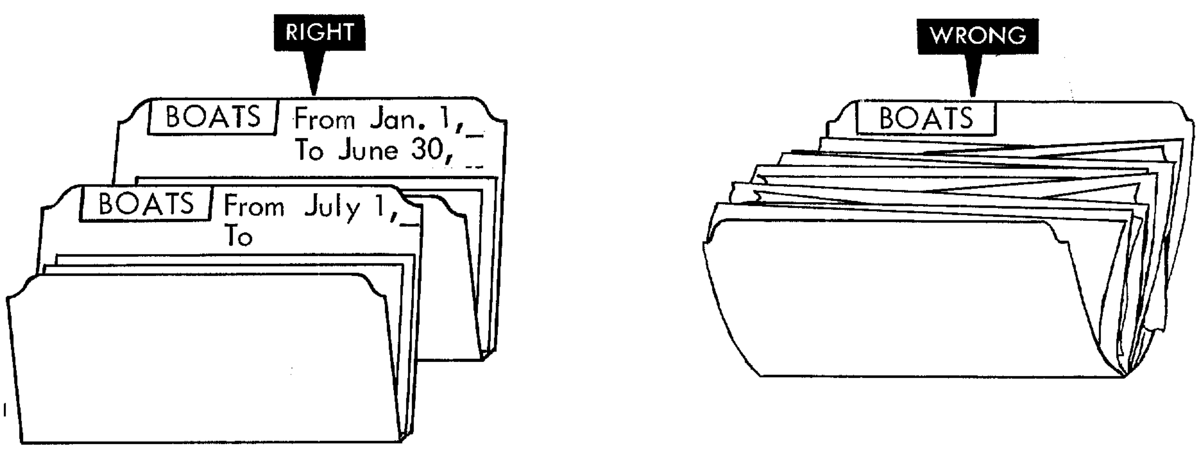


Figure 43

should be placed in a conspicuous location on the file papers. The bulky material should be marked to show storage location, file classification, and sufficient identifying information to associate it with the related file papers. A copy of the cross-reference prepared for the regular file can be attached to the bulky material to serve this purpose.

Removing Inactive Records

At least once a year (oftener for papers with shorter retention periods) file operators are expected to dispose of records according to the approved agency disposition schedules. To do so, (1) file operators cut off files, (2) transfer inactive files to storage, (3) dispose of overage files, and (4) purge publication reference materials of obsolete items.

For some time it has been obvious that successful records disposition heavily depends upon regular breaking of files; that is, physically separating active from inactive files. Though establishing a new set of folders for subject files is time consuming and painstaking, this action should be taken as frequently as reference service will permit. Breaking files is basic to a good file operation.

To cut off general correspondence subject files and establish a new set of file folders, recordkeepers generally use the guides from the previous year's file and bring forward any material needed for the new file. (When necessary they use Form OF–21, "Cross-Reference," or Form OF–22, "Continuity Reference," to substitute in the previous year's file for individual papers moved up.) They then follow their records control schedules to dispose of, or transfer to storage, the oldest year's file.

Throughout the year recordkeepers should place in a separate file all closed or inactive case files. Then at least once a year they should remove the oldest year's materials from the inactive file and carry out the authorized disposal of case working papers. If there are enough inactive cases, they save time by marking on the folder tab the year the case became inactive.

No one has yet established periodic file breaks for all types of reference files. Some reference materials remain valuable until they are superseded. During the daily filing, when recordkeepers file a revised publication, they should remove, if possible at the same time, the publication which it replaces. Similarly for reference periodicals, they should set up a revolving file whereby they discard the oldest issue when they file the latest, once they have accumulated an agreed-upon number of issues on the file. It is best, moreover, for the supervisor to check through publication reference files at least twice a year to be sure all obsolete materials have been removed.

Suspense Files

Whenever a letter requiring action is received or sent, there is always the question "Will that get done and will it get done on time?"

A suspense or tickler file may be a part of a centralized file operation or may be a part of the desk file of any office. The suspense file will serve to remind that something specific must be done on a certain date, that a reply to a letter written or a telegram sent is expected on a certain date, or that a transitory document being held for reference may be destroyed on a certain date. This file may include, for instance, a brief reminder that a report must be submitted or a letter written at a specific time.

The suspense file may take the form of a 3- by 5-inch desk card file on which the information or action desired or requested is noted along with the date by which the task must be accomplished. It may also consist of copies of letters or the originals of letters, filed by the date followup is required.

Suspense files can cause filing problems. A card file requires time and money and laborious hand posting. A document suspense file made up of file copies can keep needed documents out of their place in the regular file. Recordkeepers can, however, control the split in the files by proper chargeout procedures. Extra copies used in suspense files can easily be intermixed in the main file unless they are destroyed as soon as the action is completed.

Whether cards or originals or copies of

documents are maintained, they are filed behind guides or in folders numbered 1 through 31, standing for the days of the month. Each day the recordkeeper should check the actions to be completed on that day and should notify the official responsible for completing the action.

Card File Systems

Card files used for immediate reference to records must function quickly and accurately. Their efficiency will depend largely upon whether or not an adequate number of guides are used in systematic arrangement. Guide signposts of card size are available for both alphabetic and numeric files.

A card file in which information is recorded on the cards at various intervals, as on stock records or card ledgers, is known as a "posted record." When the card file is an index to other information, like an index to files, or when it is merely a list like a mailing list, it is known as a "reference record."

Two types of equipment are used for card files, (1) vertical and (2) visible. In the vertical arrangement, the cards are filed on edge in correct order with only the guide tabs visible. In the visible system, the cards are held in an offset or shingled manner, with one overlapping the next, so that the indexing information on each card is visible.

Standard card sizes are 3 by 5, and 5 by 8 inches. A guide should be used for approximately every 20 or 25 cards. More guides may be necessary in very active files. Also, posted records require more guides than reference records.

Chargeout Systems

A chargeout system tells where a record can be located after it has been borrowed from the files. If employees must ransack the office frequently in looking for borrowed records, a chargeout system will save time and insure more rapid finding of records needed in urgent situations.

Charge cards on heavy paper stock should protrude above other records, identify the records removed, and show who has the records and when they were removed. For a case folder, the recordkeeper needs to show the case file designation or title to identify the borrowed record. To identify a single piece of general correspondence, however, he needs to show, in addition, the date of the letter, the signer and addressee, and a short description of its contents.

OF Form 23, "Chargeout Record," has been designed for charging both case-filed and general correspondence records.

To have an effective chargeout system, recordkeepers must consistently remove the charge card each time a charged-out document is returned to files. Recordkeepers should also periodically check charge cards to follow up on documents removed from the files for a period longer than allowed.

Misfiles

Everyone wishes to eliminate misfiles because they are costly. On an average, a misfiled document costs an office about $60. Costs of misfiles come mainly from—

> Loss of executive or professional time while waiting for the missing document to be provided.
>
> Loss of time, both by the searcher and by those disturbed in attempts to find the missing paper.

Sometimes a misfiled document is not found. The loss can lead to other misfile costs such as—

> Making a poor decision on the basis of insufficient information.
>
> Spending time trying to reconstruct lost information, including possibly rechecking sources from which information was originally obtained.

Layout for Filing Operations

The larger the filing operation and the more people involved, the greater the need for properly arranging desks, filing containers, and filing aids and devices. The guidelines presented here are therefore of primary interest to the operation of full-time records facilities employing more than one recordkeeper, although they will apply to a lesser degree to part-time filing operations in individual offices.

Work Flow. Proper layout is essential to avoid backtracking and lost effort in the daily chain of repetitive steps involved in filing and finding papers. For smooth flow of work, offices will—

- Position each recordkeeper's desk so he can receive his work from the person immediately next to him.
- Reduce to a minimum the distance between a worker and the records containers or filing aids or other devices he uses.
- Arrange the immediate work space on the desk or table of each worker so that all papers or needed tools can be positioned within arm's length, and that adequate space is provided for separating different types of papers.

Space Standards. Offices should observe the following layout standards when arranging desks or recordkeeping equipment:

- Thirty-six inches is the minimum aisle for file cabinets placed back to back. Aisles may be wider depending on the amount of activity and the number of people using the records. General Services Administration space standards permit a maximum aisle width of 45 inches. The minimum aisle space for file shelving is 30 inches.
- Employees' desks should face in the same direction, avoiding, if possible, workers having to face the light. Allow, as an average, 36 inches for chair space between the back of one desk and the front of another.

Arrangement of Filing Equipment. Small collections of filing cabinets or file shelving should be placed against walls or railings; larger collections should be placed back to back. The containers should be arranged so the records are in consecutive order from left to right. To eliminate needless walking, long rows without breaks should be avoided.

Offices with many file cabinets or file shelf units must consider the floor load capacity of the building. An empty standard five-drawer file cabinet weighs about 195 pounds, while each linear foot of letter-size record material weighs about 30 pounds. Cabinets may need to be alined along the walls or over sustaining supports if a weight problem exists.

Lighting. For general office work, a level of lighting intensity of 75 foot-candles is recommended. Offices with inadequate lighting fixtures try to place employees near windows to obtain the desired lighting.

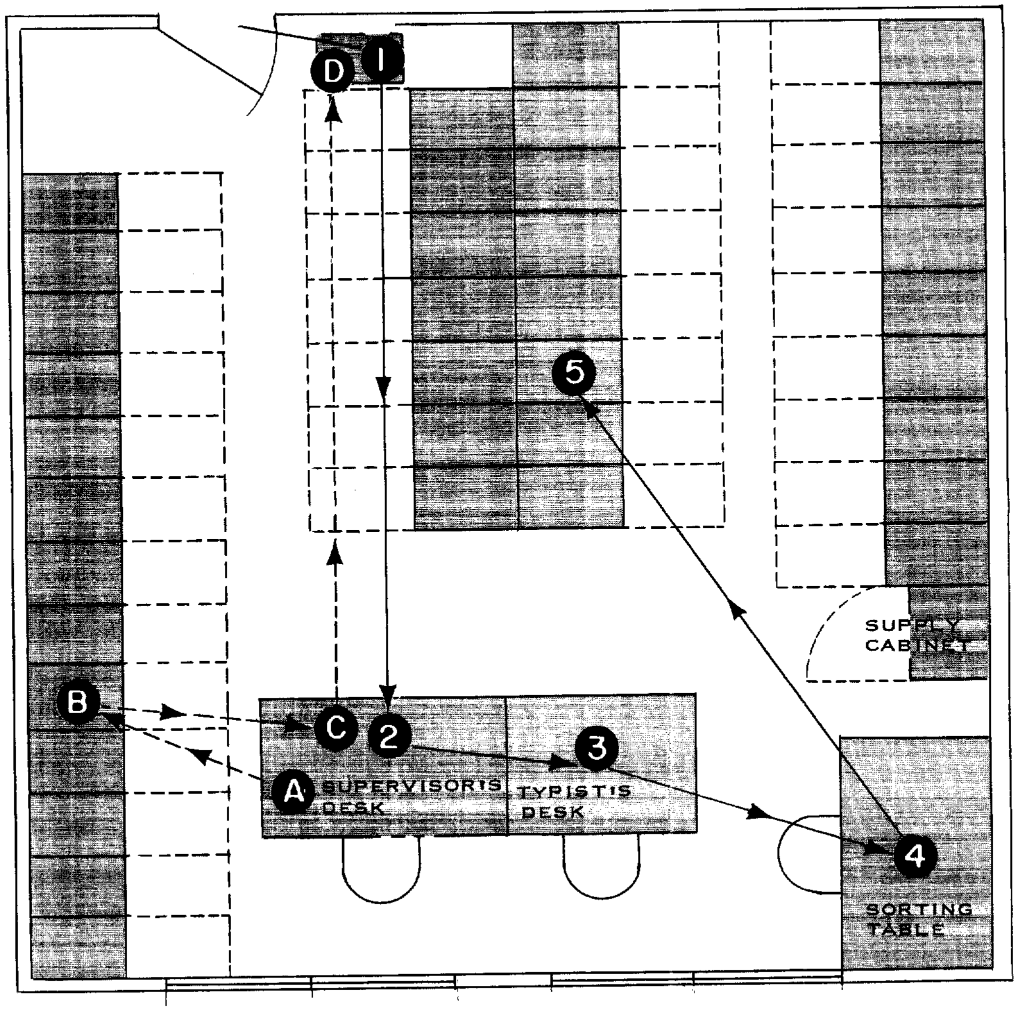
Access Control. The more people allowed to work in the records, the more difficult it is to maintain the records in an orderly manner. Access to the records should be limited to assigned records personnel only. In addition, special access controls are required for security classified documents and for records marked "For Official Use Only." To promote better access control, most offices—

- Place the desk of an assigned recordkeeper near the office door, or in a position which provides a clear view of the active files.
- Use cabinets to form a partition, if a separate office is not available for the files.

Figure 44 illustrates applying the principles of space layout and utilization described here.

LAYOUT OF A RECORDS UNIT SHOWING FLOW OF WORK

400 square feet (20' x 20'): 37 cabinets



FILING

1 Receiving

2 Classifying

3 Cross-reference typing

4 Sorting

5 Filing

SEARCHING

A Receiving and recording requests

B Finding record and inserting charge card

C Readying document for delivery

D Placing record in outgoing mail

Figure 44

IX. EVALUATING AND REPORTING

Do we know how many times we cannot find information or records when they are requested?
Are our "can't finds" too high in relation to the total requests received?
Do we have standards for measuring how effectively we carry out our filing?
Are we consistent in the way we report on the number of papers being filed and the number of requests we receive?

No matter how small or large the files operation, offices should evaluate periodically how well the job is being done. This requires accumulating statistical data, comparable over a meaningful timespan, upon which to base an appraisal.

Measuring Finding Effectiveness

The best measurement of a files operation is the certainty with which it can speedily produce complete and pertinent information. The factors listed below should provide some relevant standards.

Misfiles. Audits indicate that a typical office file struggles along with nearly 3 percent of the papers or cases physically misfiled. This is too high. How much lower the figure should be depends on the kind of file and the impact of "can't finds" and delayed finding on the function served. Supervisors should set a figure and by sampling determine whether it is being met. If not, extensive training of personnel is called for.

"Can't Finds." Probably no office would consider as high as 3 percent "can't finds" an acceptable standard for its subject files. This figure is based, of course, on the assumption that the records being sought are actually in the files. In most case files, even a 1 percent failure to find would be excessive.

Time Required. In most subject files, about 10 percent of the searches require looking in several places before the desired document is found. In case files, the files operator should not have to look in more than one place for more than 2 percent of the searches. But depending upon the experience of the files operator, it should normally take no more than 2 to 3 minutes to locate any item requested from the files.

Measuring Filing Productivity

Supervisors can measure work done against the time subordinates need to perform it. How valuable this ratio information is depends on the size of the files operation and thereby how many man-hours are being invested in it.

Usually the key factors that must be considered in setting productivity standards are governed by the chain of clerical tasks involved in placing papers into the files. It may be necessary to determine—

- The average time required in assembling related papers and in determining and marking the filing designation on each piece to be filed.
- The average number of cross-references marked on each piece, and the average time required in determining and marking each reference.
- The average time required in preparing and marking each reference for filing. This time is affected by the format of the cross-reference (available copies, standard cross-reference forms, or cards).
- The average time required in sorting each piece to be filed into the same sequence as that of its appropriate file.
- The average time required in actually placing each marked piece into the folders. This will be affected primarily by the effectiveness of the guide and folder labels in pinpointing the one folder wanted and whether or not papers to be filed must be fastened with prong fasteners.

Because of the variables affecting each of the foregoing steps in the filing process, an optimum time rate for each step cannot be given in this handbook. An office desiring to measure filing productivity must set for each step those standards which best fit its own operations. These standards should be expressed as the average time per piece filed. A number of Navy field offices under the Navy Bureau of Supplies and Accounts have done this, using time-and-motion study techniques.

Recording Data

Figures 45 and 46 illustrate formats for recording data useful in evaluating recordkeeping once an office has established standards. For a small file, such as one kept by a secretary on a part-time basis, recording 2 weeks' data only three or four times a year on the finding effectiveness form may be sufficient. Other recordkeeping installations may also wish at similar intervals to record data on the filing effectiveness form. Large central records facilities may wish to record each day all data covered by both forms, and possibly even additional data.

REPORT OF EFFECTIVENESS IN FINDING RECORDS

EFFECTIVENESS IN FINDING RECORDS			Type of File Subject
Date (a)	No. Requests Recd. (b)	No. Not Found (c)	No. Requiring a Search in 3 or more folders (d)
7/3	23	4	9

Figure 45

REPORT OF EFFECTIVENESS IN FILING RECORDS

EFFECTIVENESS IN FILING RECORDS			Type of File Case	
Date	No. Man Hours Filing	No. Pieces Received	No. Cross References	
			Forms	Extra Copies
(a)	(b)	(c)	(d)	(e)
7/3	3	145	10	15

Figure 46

The forms are self explanatory except for "Number of Requests Received" (column b, figure 45) and for "Number of Pieces Received" (column c, figure 46) discussed in the following paragraphs.

Number of Requests Received. Recordkeepers should count all requests received for either information or records from the file, except requests made for information obviously not answerable from the records. They should normally consider as one request a call involving withdrawal of more than one copy of the same document. Searching and withdrawing materials from more than one subject folder, for one call, should also constitute a single request. For multiple requests for several different case folders, they should count as a separate request each case withdrawn.

Number of Pieces Received. The recordkeeper should count each letter, memorandum, or other document as one piece regardless of the number of pages. If an incoming letter is stapled to an outgoing carbon copy and other attachments, he should count the entire document as only one piece

It is best to report an actual count of pieces received. An estimate is permissible, however, if volume is large. Estimating is simple, once an average is established for the number of sheets per piece filed. This average is based on at least 1 month's count.

Since an inch stack of material normally contains 200 sheets, 200 is divided by the average number of sheets per piece to determine the average number of pieces to an inch. Once this basic average is obtained, the recordkeeper can easily estimate the number of pieces received for filing by measuring in inches the stack of incoming materials.

Some other hints:

Report only new materials received and classified. Do not report as pieces received, materials which are to be destroyed or otherwise not placed in the files.

Do not report as pieces received, materials which are reclassified because of the installation of a new system, or for some other reason. Report such papers on the back of the form as "Number of Pieces Reclassified."

Estimating Finding and Filing Costs

The cost on a national average for initially filing a single page letter is from 3 to 6 cents. On a national average, the annual cost of files operations is about $340 for an uninsulated five-drawer letter-size cabinet. This figure is computed by adding together the following annual costs:

Rent and maintenance per square foot of cabinet space including working area
Equipment depreciation
Filing supplies
Labor

Labor cost, which is the largest factor in determining the overall cost, is the proportionate share of the worker's salary representing the time spent in filing.

The cost of "screening" files to remove unwanted or unnecessary papers generally runs about $5 per cubic foot of records, rarely less than $3. This cost, if the job is a difficult one, may run as high as $15 per cubic foot.

The cost of references made to the material in the file is determined by dividing the cost of the file operation by the total number of references made each year. The national standard appears to be $1 per reference. However, a rate of 50 cents per reference is being realized by the Federal Records Centers, elements of the Social Security Administration, and a number of other offices.

The Recordkeeper's Job

From this handbook, a recordkeeper can prepare a statement of the responsibilities fitting his own recordkeeping job. Such a statement is complete only if it covers the full range of files operations in his office, including: Discarding the unneeded; identifying essential records; installing the appropriate separate file groups and systems of arrangement within each file group; checking, assembling, marking, and sorting materials to be filed; providing reference service; implementing disposal policies; and adhering to equipment, layout, supply, and productivity standards.

This handbook admiringly salutes the faithful and highly useful Federal recordkeeper.

APPENDIX A

Excerpts From United States Civil Service Commission Filing Manual

PART II—FILE CLASSIFICATION PATTERNS

Section .01—ADMINISTRATIVE SUBJECTS

This outline contains subject titles for the classification of correspondence and other documents pertaining to the administrative and housekeeping operations of the Civil Service Commission.

DO NOT USE subjects in this section for the classification of any material specifically relating to the major program responsibilities (substantive functions) of the Commission. Section .02 is used for classifying program material.

The following is a list of Primary Subject Titles contained in Section .01.

Primary Subject	*Code*
Administrative Management	ADM
Administrative Services	ADS
Budget and Fiscal	BUF
Committee Management	COM
Information Services	INF
Personnel (CSC)	PER

Footnotes which apply to all outlines in these patterns:

1 Correspondence regarding this material is filed in the location indicated. Material itself is maintained separately.

2 Maintained separately in case files.

3 File specifics under appropriate subjects.

4 Cross-reference significant items to appropriate subject file.

5 Extra copies are non-record and are stored elsewhere.

6 May be subdivided by special planning studies and assignments.

7 Approved plans, resulting in published issuance filed under ADM–2.

8 Use this category to organize extra copies of materials (case files, procedural backup, etc.) as needed for day-to-day working references, and for related opinions and decisions which are not part of a case file or an issuance file (ADM–2). Routine informational responses on these subjects are filed under INF–5.

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

ADMINISTRATIVE MANAGEMENT—ADM

Use this outline for all material on the overall policy, mission, organization and direction of the Commission, including management improvement programs and for all formal rules, regulations and guides.

<u>Except</u>: Material pertaining to Administrative support, and services............ SEE: ADS.
Personnel Management CSC.................................... SEE: PER.
Program Management.. SEE: Specific Programs.
Budget and Fiscal... SEE: BUF.
Organization and Management—Committees and groups............... SEE: COM.

ADMINISTRATIVE MANAGEMENT

1 Administration—Basic Organization & Functions

1–1 Assignments & Authorizations
1–1–1 Organization Charts

1–2 Conference Agenda & Minutes

1–3 Management Surveys

1–4 Improvements, Plans & Projects [7] (by name of project or plan)
1–4–1 Evaluations & Reports
1–4–2 Improvements
1–4–3 Reorganization

1–5 Workloads

2 Administrative Issuances [1] (Also SEE: 7–3)

2–1 Administration of
2–1–1 Issuance System

2–2 Administrative Manual

2–3 Federal Personnel Manual

2–4 Internal Federal Personnel Manual

2–5 Minutes

2–6 Other Formal Issuances (Bulletins, Circulars, Handbooks, etc.)
NOTE: See the –1 category of each primary and secondary for local level issuances.

2–7 Personnel Manual—CSC

2–8 Regulations

3 Delegation of Authority

3–1 Authorizations—Special

* * * * * * *

7 Reference Aids

7–1 (Reserved)

7–2 Addressee Index (Name Files)

7–3 Issuances, Reference Sets (Filed in accordance with instructions for issuances; NOT in subject file folders)

7–4 Other nonrecord references

7–5 Reading (Chronological) Files

8 Security

8–1 (Reserved)

8–2 Buildings, Security of

8–3 Equipment, Security of

8–4 Files, Security of

COMMITTEE MANAGEMENT—COM

Use this outline for material on the managment of all standing and Ad Hoc committees, boards, intra-governmental committees, commissions and other groups over which the CSC has administrative jurisdiction. Maintain in case file by name of committee, etc. If case file becomes too large or too active to handle, use following outline to further sub-divide the file.

COMMITTEE MANAGEMENT

1 Administration—Basic Organization & Functions

1–1 Authorizations & Assignments

1–2 Meetings, Agenda, Minutes
1–2–1 Schedules

2 Instructions, Operation

3 Membership

NOTE: The substantive records of these groups (project files, working papers, case files, registers, indexes, etc.) are maintained separately and filed under categories corresponding to the appropriate functions or subjects affected.

APPENDIX B

Excerpts From Department of the Army Regulations AR 345–210, 31 October 1962

RULES FOR ALPHABETICAL FILING

Rules	*Examples*
1. Personal names.	
a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.	Arthur B. Anglin—filed ***Anglin*** Arthur B.
b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetical sequence.	David de Valera—filed ***de Valera*** David.
c. HYPHENATED surnames of individuals are filed as one complete surname.	Blanche Duff-Gordon—filed ***Duff-Gordon*** Blanche.
d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.	***Black*** Thunder. ***Henry*** George.
e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine *Adams* Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).	***Laurens*** Josephine Mary (Mrs) (Mrs. William A).
Cross-reference:	***Laurens*** William A (Mrs)—filed Laurens Josephine Mary.
f. ABBREVIATED first names are filed as though they were spelled in full.	Chas. Brown—filed ***Brown*** Charles.
g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname used as the first name. Nicknames with no recognizable surnames are filed as they are written.	Red Larson—filed ***Larson*** Red. ***Boston*** Jimmie.
h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.	Dr. Charles C. Brown—filed ***Brown*** Charles C (Dr.). Father Pierre—filed ***Father*** Pierre.
i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.	C. Albert Brown, Jr.—filed ***Brown*** C Albert (Jr).
2. Firms, corporations, companies, associations, institutions, governments, and geographical names.	
a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.	A A A Chemical Co.—filed ***A A A*** Chemical Company. Aunt Jemima's Pancake Flour—filed ***Aunt*** Jemima's Pancake Flour.
b. SURNAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.	Charles Brown & Company—filed ***Brown*** Charles (&) Company.

Rules	*Examples*
c. PREFIXES on firm and geographical names such as Co-, D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.	De la Verne Co.—filed ***De la Verne*** Company. Los Angeles, Calif.—filed ***Los Angeles,*** California.
d. HYPHENATED firm names are filed as one complete name.	Air-E-Ator Ventilating Co.—filed ***Air-E-Ator*** Ventilating Company.
e. COMPOUND names of firms which may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State; Mid West; South Eastern; South Side; North East.	Inter State Warehousing Co.—filed ***Inter State*** Warehousing Company.
f. COMPOUND GEOGRAPHICAL firm names are filed as written. Abbreviations are filed as though spelled in full.	Ft. Wayne Paper Co.—filed ***Fort*** Wayne Paper Company. N.J. Coal & Coke Co.—filed ***New*** Jersey Coal (&) Coke Company.
g. ABBREVIATIONS representing names or parts of names of firms, of government agencies, fraternal and similar organizations are filed as though spelled in full.	Amer. Society for Civic Education—filed ***American*** Society (for) Civic Education. E. 59th St. Garage—filed ***East*** Fifty Ninth Street Garage.
h. APOSTROPHE S ('s) is not considered in filing, but s apostrophe (s') is considered in filing.	Anglin's Beauty Shop—filed ***Anglin***'s Beauty Shop. Anglins' Automobile Co.—filed ***Anglins***' Automobile Company.
i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as the, and, &, of, for, on, by, when it is part of a firm name is inclosed in parentheses and disregarded in filing. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.	The Calico Cat—filed ***Calico*** Cat (The). Il Progresso Italo—filed ***Il Progresso*** Italo.
j. STATE, COUNTY, CITY, TOWN, or a similar word when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a government establishment, is filed as written.	City Letter Co.—filed ***City*** Letter Company. County of Wall Surveying Co.—filed ***County*** (of) Wall Surveying Company.
k. NUMERALS of one or two digits which comprise a name or the beginning of a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.	86 Madison Ave. Realty Co.—filed ***Eighty-six*** Madison Avenue Realty Company. 1198 Park Ave. Corp.—filed ***Eleven Hundred Ninety-eight*** Park Avenue Corporation. 92–96 W. 18th St. Corp.—filed ***Ninety-two*** (96) West Eighteen Street Corporation.
l. FIRM names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any government establishment or function, are filed as written.	Committee for Economic Development—filed ***Committee*** (for) Economic Development.
m. STANDARD TERMS such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.	Brown Bros.—filed ***Brown*** Brothers. Cie Generale Transatlantique—filed ***Cie*** Generale Transatlantique.
n. CHANGE of firm name due to successorship should be filed under the current firm name and a permanent cross-reference made under the former name.	Clairo Company formerly Van Ess Products Co.—filed ***Clairo*** Company (Formerly Van Ess Products Co.).
Cross-reference:	***Van Ess*** Products Company—filed Clairo Company.
o. MULTIPLE names. Firms doing business under two titles are filed under the more active or important name and a permanent cross-reference is made under the other name. This includes firms "doing business as," written "d/b" or "d/b/a."	Max Jensen doing business as Ace Van Lines—filed ***Ace*** Van Lines.
Cross-reference:	***Jensen*** Max d/b/a filed Ace Van Lines.

Rules	*Examples*
p. PARTNERSHIP AND FIRM names which contain the full names of two or more individuals are filed by the name of the first individual mentioned.	Charles Brown & Henry Jones—filed *Brown* Charles (& Henry Jones).
q. VARIOUS LOCATIONS. The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when there is a duplication of city names.	Allied Van Lines, Denver, Colo.—filed *Allied* Van Lines *Denver* Colorado. Allied Van Lines, Portland, Me.—filed *Allied* Van Lines *Portland* Maine.
r. SUBSIDIARIES OR DIVISIONS. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.	Truscon Steel Co. Division of Republic Steel Corp.—filed *Republic* Steel Corporation Truscon Steel Co. Division.
s. BANKS, BOARDS OF TRADE, NEWSPAPERS, etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.	Board of Trade Chicago, Ill.—*Chicago* (Ill) Board of Trade.
t. FEDERAL DEPARTMENT NAMES. Federal government departments and subdivisions thereof are filed by name in the alphabetical name file disregarding the parent organization.	
Bureau of Budget:	Filed *Budget* Bureau (of).
U.S. Coast Guard:	Filed *Coast Guard* (U.S.).
Office of Emergency Management:	Filed *Emergency* Management Office (of).
Great Lakes Naval Training Station:	Filed *Great* Lakes Naval Training Station.
Executive Office of the President:	Filed *President* Executive Office (of The).
3. FRATERNAL or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.	Veterans of Foreign Wars, Portsmouth Post, N.H.—filed *Portsmouth* (N.H.) Post, Veterans (of) Foreign Wars.
4. INSTITUTION names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.	Andrew Carnegie Library—filed *Carnegie* Andrew Library; University of Washington—filed *Washington* University (of).
5. SUBDIVISIONS of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.	Water Dept. Fairfax County, Va.—filed *Fairfax* County (Va) Water (Dept).

APPENDIX C

Captions for Divisions of the Alphabet

60 Divisions*

A	Cr	H	Li	Pe	St
Am	D	He	M	Pi	Su
B	De	Ho	Mar	Q	T
Be	Do	Hu	Mc	R	To
Bi	E	I	Me	Ri	U
Br	F	J	Mo	Ro	V
Bu	Fi	K	Mu	S	W
C	G	Ki	N	Sch	We
Ch	Gi	L	O	Se	Wi
Co	Gr	Le	P	Si	XYZ

100 Divisions*

A	Cl	Fr	John	Ni	Sp
Al	Co	G	K	O	St
Am	Con	Ge	Ke	P	Sto
Ander	Cor	Go	Ki	Pe	T
Ar	Cr	Gr	Kn	Pi	Tho
B	Cu	Gro	L	Pr	Ti
Bar	D	H	Le	Q–R	Tr
Be	De	Ham	Li	Ri	U
Ber	Di	Har	Lo	Ro	V
Bi	Do	Hat	M	Ros	W
Bo	Dow	He	Man	S	War
Br	E	Hi	McA	Sch	We
Bro	El	Ho	Me	Se	Wh
Bu	Et	Hon	Mi	Sh	Wi
C	F	Hu	Mo	Si	Wo
Car	Fi	I	Mu	Smith	XYZ
Ch	Fo	J	N		

See footnotes at end of table.

Approved For Release 2001/07/17 : CIA-RDP74-00005R000100020023-7

150 Divisions*

A	Co	Gar	Jones	Mu	Sp
Al	Con	Ge	K	N	St
Am	Coo	Gi	Ke	Ni	Sto
Ander	Cor	Go	Kel	O	Su
Ar	Cr	Gr	Ki	Or	T
At	Cu	Gre	Kn	P	Te
B	D	Gro	Kr	Pe	Tho
Baker	Davis	H	L	Pet	Ti
Bar	De	Hal	Lar	Pi	Tr
Be	Del	Ham	Le	Pr	U
Ber	Di	Har	Lei	Pu	V
Bi	Do	Harr	Li	Q–R	Ve
Bl	Dow	Hat	Lo	Re	W
Bo	Du	He	Lu	Ri	Wall
Bon	E	Hen	M	Ro	War
Br	El	Her	Man	Ros	We
Bro	Et	Hi	Mas	Ru	Wei
Bu	F	Ho	McA	S	Wh
Bur	Fe	Hol	McD	Sch	Wi
C	Fi	Hon	McK	Schm	Williams
Car	Fl	Hu	Me	Se	Wilson
Cas	Fo	Hun	Mi	Sh	Wo
Ch	Fr	I	Miller	Si	Wr
Che	Fri	J	Mo	Smith	XY
Cl	G	John	Mor	Sn	Z

See footnotes at end of table.

200 Divisions**

A	Con	Green	Lar	Or	Sn
Ad	Coo	Gri	Le	P	Sp
Adams	Cor	Gu	Li	Par	St
Al	Cr	H	Lo	Pat	Stone
Allen	Cu	Ham	Lor	Pe	Str
Am	D	Har	Lu	Per	Su
American	Davis	Harr	M	Ph	Sw
Ar	De	Has	Mah	Pi	T
As	Dem	He	Man	Po	Th
B	Di	Hen	Mar	Pr	Ti
Bal	Do	Her	Mart	Pu	To
Bar	Dor	Hi	Mas	Q	Tr
Bas	Dr	Ho	Mc	R	Tu
Be	Du	Hom	McD	Re	U
Ben	E	Hos	McI	Ri	United
Bi	Ed	Hu	McM	Rid	V
Bl	El	Hun	Me	Roc	Ve
Bo	En	I	Mer	Ros	Vo
Br	Es	J	Mi	Ross	W
Bre	F	Je	Miller	Ru	Wal
Bro	Fe	Jo	Min	S	War
Brown	Federal	John	Mo	San	We
Bu	Fi	Jon	Mor	Sc	Wel
Bur	Fl	Jones	Mos	Sch	Wes
C	Fo	K	Mu	Schu	White
Cam	Fr	Ke	Mur	Se	Wi
Car	Fri	Kem	N	Sh	Wil
Cas	G	Ki	National	Sher	Wils
Ch	Ge	Ko	Ne	Si	Wo
Che	Gi	Kr	Ni	Sim	Wr
Ci	Gl	Ku	No	Sk	X
Cl	Go	L	O	Sm	Y
Co	Gold	Lan	Ol	Smith	Z
Collins	Gr				

**Records Management, Files Systems and Standards*, AR 345–210, Headquarters, Department of the Army.

***Files Handbook for Congressional Offices, Senate Members*, National Archives and Records Service, General Services Administration.

☆U.S. GOVERNMENT PRINTING OFFICE : 1964 O—686-584

GENERAL SERVICES ADMINISTRATION

Washington : 1964